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# Presentation and illustration of a systems-process model for program evaluation

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Presentation and illustration of a  
systems-process model for program evaluation

by

John Edward Burton Jr.

A Dissertation Submitted to the  
Graduate Faculty in Partial Fulfillment of  
The Requirements for the Degree of  
DOCTOR OF PHILOSOPHY

Department: Sociology and Anthropology  
Major: Sociology

**Approved:**

Signature was redacted for privacy.

**In Charge of Major Work**

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	Page
PART ONE-THE SYSTEMS-PROCESS MODEL	1
CHAPTER I. STATEMENT OF THE PROBLEM	2
Purposes of the Dissertation	2
Rationale for the Dissertation	3
The Conventional Evaluation Approach	5
Conceptualization of evaluation	5
Advantages and use of the Classical Experimental Evaluation (CEE) Model	5
Obstacles to using the CEE Model	6
New Directions: Emerging Alternatives to the Conventional (CEE) Approach	9
Background to a Systems-Process (SP) Model for Program Evaluation	14
Introduction	14
Assumptions on evaluation	16
Systems-process approach to evaluation: an overview	20
Major phases and issues in the SP Model	22
CHAPTER II. NEGOTIATION AND SPECIFICATION OF THE EVALUATION CONTRACT	26
Introduction	26
Negotiation and Specification (A): What is to be Evaluated, and Why	29
Prior Evaluation Activities, Efforts or Planning (B)	33
Role of the Evaluator (C)	34
CHAPTER III. SPECIFICATION OF THE PROGRAM SYSTEM AND NEGOTIATION OF THE EVALUATION SCENARIO	39
Introduction	39

	Page
Specification of the Program System (A)	39
Introduction	39
Phase of program development	40
The current and past situation of the program system	42
Program goals	43
Negotiation and Specification of the Guidelines and Procedures for Conduct of the Evaluation (B)	45
Introduction	45
Criteria	46
Evidence	48
Procedures for making judgments	49
CHAPTER IV. EVIDENCE COLLECTION	51
Introduction	51
Specification of Data to be Collected (A)	53
Specification and Implementation of Data Collection Techniques or Procedures (B)	57
CHAPTER V. EVALUATIVE JUDGMENTS AND EVALUATION UTILIZATION	60
Introduction	60
Making Evaluative Judgments (A)	61
Reporting (B)	64
Evaluation Utilization (C)	66
CHAPTER VI. CONCLUDING COMMENTS ON THE SP MODEL	69
PART TWO-ILLUSTRATION OF MODEL USE	72
CHAPTER VII. INTRODUCTION TO PART TWO	73a
CHAPTER VIII. TITLE V OF THE RURAL DEVELOPMENT ACT OF 1972	74

	Page
Introduction	74
Overview of Title V: Purposes and Rationale	74
State Level Title V Organization (Iowa)	77
State Level Title V Operation (Iowa)	82
Title V Evaluation: Focus and Components	84
CHAPTER IX. NEGOTIATION AND SPECIFICATION OF THE EVALUATION CONTRACT: ILLUSTRATIONS FROM TITLE V	89
Introduction	89
Negotiation and Specification of What is to be Evaluated, and Why (A)	89
Prior Evaluation Activities or Planning (B)	95
Role of the Evaluator (C)	96
CHAPTER X. SPECIFICATION OF THE PROGRAM SYSTEM AND NEGOTIATION OF THE EVALUATION SCENARIO: ILLUSTRATIONS FROM TITLE V	100
Introduction	100
Specification of the Program System (A)	101
Negotiation and Specification of the Guidelines and Procedures for Conducting of the Evaluation (B)	105
CHAPTER XI. EVIDENCE COLLECTION: ILLUSTRATIONS FROM TITLE V	111
Introduction	111
Specification of Data to be Collected (A)	111
Specification and Implementation of Data Collection Techniques or Procedures (B)	115
CHAPTER XII. EVALUATIVE JUDGMENTS AND EVALUATION UTILIZATION: THE EVALUATION PROCESS IN TITLE V	121
Introduction	121
Evaluative Judgments and Evaluation Utilization	121

	Page
Recommendations for Strengthening the Title V Evaluation Process: Retrospective Reflections of an Evaluator	123
Conclusion	127.d
CHAPTER XIII. CONCLUSIONS	128
REFERENCES	132
APPENDIX A. TITLE V PROJECTS IN THE STUDIED PROGRAM	139
APPENDIX B. PROPOSAL FOR THE MANPOWER EDUCATION SERVICES PROJECT EVALUATION	143
APPENDIX C. QUESTIONNAIRE TO BE USED IN ORGANIZATIONAL EVALUATION (RRDAC)	157



**PART ONE-THE SYSTEMS-PROCESS MODEL**

## CHAPTER I. STATEMENT OF THE PROBLEM

### Purposes of the Dissertation

Steele (1973) has observed that much needs to be done in conceptualizing, modeling, and testing program evaluation procedures. Edwards et al. (1975) point out that the central issue in evaluation research is the requirement for a useable conceptual framework and methodology that links inferences about states of the world, the values of decision makers, and decisions. Both of these authors suggest that extant approaches have not yet produced an adequate conceptual framework for evaluation.

The purpose of this dissertation is twofold. First, a framework or "model" of the evaluation process (that can be used for developing and conducting program evaluations) will be presented (Part One). This model does not provide a "cookbook" approach to program evaluation (i.e., delineate specific actions that must be taken and how they are to be accomplished), but rather it sets out key issues involved in any evaluation process. Emphasis is upon important issues that likely will be encountered in the evaluation process and that may greatly influence the nature of program evaluation, and not upon specific techniques for making evaluations (except as these become problematic). The model of the evaluation process presented here should serve to sensitize evaluators to potential pitfalls involved in conducting program evaluations.

Second, illustrations are presented to show how issues treated by the model actually have affected a specific evaluation effort and, in some

cases, how these issues were resolved (Part Two). These illustrations are taken from an ongoing evaluation of a state rural development program (sponsored under Title V of the Rural Development Act of 1972).

#### Rationale for the Dissertation

Attention previously has been focused on evaluation as a tool for gathering the kinds of information needed to determine whether any progress has been made in efforts to alleviate a broad range of social ills. Given the ever present shortage of funds available for human services, continuing pressures for intensified evaluation of public programs are almost a certainty (Gurel, 1975). This fact, along with deficiencies of current evaluation models, provides a practical rationale for further evaluation model development.

Paralleling the growth of evaluation research, there has been a rapid proliferation of the evaluation literature oriented to model development (Steele, 1975; Gurel, 1975). The large number of social action programs instituted during the 1960's led evaluators to question the viability of traditional models of program evaluation. Some evaluation researchers, in fact, seriously challenged the applicability of orthodox experimental research methods to evaluation of many social action programs (Ball, 1975), and recent years have brought a search for alternative methodological approaches. There is growing recognition of the need for new approaches to evaluation and for a redefinition of the evaluator's role (Talmage, 1975). There also is realization that a design for evaluating programs with well-defined objectives may be different than where objectives are stated abstractly or emerge as the program unfolds (Brack, 1975).

The results of model building to date, however, have been less than satisfactory. Steele (1973) has identified over 50 different approaches to evaluation. Major deficiencies noted by her for these evaluation models are that: 1) most were designed only for specific field situations, 2) most define evaluation as concerned with collection of data pertinent to program outputs only and generally omit consideration of the processes by which judgments are reached, and 3) most fail to deal with value questions and other issues encountered in the evaluation process.

The model presented here represents an effort to respond to the above listed deficiencies. Additionally, it is an effort to provide a model that crystallizes previously unstated assumptions about evaluation, and specifies the issues to be encountered in developing any evaluation. Finally, the illustrations of model use (Part Two) give insight into problems in making an evaluation, rather than merely reporting results of an evaluation. Steele (1973) has noted that the evaluation literature contains many evaluations of specific programs that commonly report data and judgments about programs, but that often fail to assess the dynamics and pitfalls of the evaluation process itself. If current deficiencies in the evaluation literature are to be adequately redressed more reports of the evaluation process are needed (Steele, 1973).

The remainder of this chapter is devoted to discussing the conventional approach to evaluation, and emerging alternatives to this approach. Discussion of these alternatives addresses not only deficiencies and needs in evaluation model development, but also provides an introduction to the "Systems-Process (SP) Model" for program evaluation.

## The Conventional Evaluation Approach

### Conceptualization of evaluation

The conventional view of program evaluation defines evaluation as: 1) providing program administrators with accurate information about the consequences of their actions (Caro, 1969), 2) fact-finding about the results of planned social action (Hyman et al., 1962), and/or 3) measuring the consequences of goal-oriented action (Griessman, 1969). These definitions of evaluation all focus the evaluation process on the extent of goal-attainment. This view of evaluation seeks to determine whether or not a program has accomplished its stated objectives (i.e., did the "arrow hit the target"). It is a necessary assumption in using this approach to evaluation that the "target" (objectives) are clearly specified and unchanging, and that the program "arrow" is unaffected by extraneous variables. The use of an experimental design often proceeds out of these assumptions. The conventional approach to program evaluation and the classical experimental evaluation model (CEE Model), therefore, have been commonly linked.

### Advantages and use of the Classical Experimental Evaluation (CEE) Model

The CEE Model has a number of distinct and important advantages, which include: 1) the obtaining of objective and verifiable data, 2) the ability to make causal inferences between program inputs and products, and 3) generalizable results. Use of the CEE Model further permits elimination of extraneous factors (i.e., factors other than the tested stimuli) as causal explanations of program outcomes (Hyman et al., 1962),

and eliminates the tendency to confuse progress in marshalling inputs with progress toward achieving outputs (USAID, 1972). Program development and evaluation planning, in the CEE Model normally must proceed together to insure that properly measurable program objectives are stated and that an experimental evaluation design is feasible. Normally, collection of data on goal attainment occurs before the program is implemented and upon its completion. Data may be collected, however, at several points during the life of the program. Often where continuing data collection occurs, the intent is to insure that changes do not arise that are disruptive to the experimental evaluation. In this regard, Freeman and Sherwood (1965) comment that " . . . the researcher must continue to remain within the environment, like a snarling watch-dog ready to oppose alterations in programs and procedures that could render his evaluation efforts useless."

Among advocates of the CEE Model (or its variations), two views of non-experimental evaluation approaches are taken. The first is that there is "no alternative" to experimental design evaluation research (Freeman and Sherwood, 1965). The second is that while non-experimental approaches may prove useful in some initial phases of evaluation, these should be viewed as secondary and supplemental to the ultimate implementation of experimentally based evaluation research (Rossi, 1967; Caro 1969).

#### Obstacles to using the CEE Model

Use of experimental design long has been considered the ideal approach to conducting program evaluations. One problem, however, is that experimental procedures often are impossible to implement in the field (Weiss, 1972). Major obstacles to using the CEE Model generally

include: 1) the difficulty (or impossibility) of effectively implementing the CEE Model in some field situations, 2) the need for judgments about the program that are not easily accomplished by use of a CEE Model, 3) the fact that program objectives may be difficult to define and/or operationalize, 4) ethical problems in the selection and use of treatment and control groups, 5) lack of control by the researcher over selection of persons into the program, 6) lack of access to program participants in the study population, and 7) difficulty in implementing necessary controls for programs already underway.

After examining the failure of one evaluation effort that used the CEE Model in an action program, Weiss and Rein (1969) concluded that:

. . . when action programs are more like model city planning and less like inoculation with a flu vaccine, an experimental model for evaluating effectiveness is apt to be a mistake.

They found that the CEE effort failed because it did not fit the reality of the social-action program being evaluated. It could not be effectively implemented nor did it meet the information needs of program administrators and decision makers. It would seem that large-scale, social-action programs often may need to be evaluated in ways different from those necessitated by an experimental design.

Many of the problems encountered in using the CEE Model (the conventional approach to evaluation) result from a misunderstanding of the differences between basic "scientific" research and evaluation. One reason for this confusion, and its consequence for evaluation, has been noted by Edwards et al. (1975). They state:

Our graduate school teachers of research design, statistical methods, and the like clearly are doing an extraordinarily

effective job of selling experimental research as the high road to knowledge. Researchers who have been trained to believe that they must make inferences, that inferences are statistical, and that good statistical inferences grow from experiments therefore find themselves in dilemmas resulting from the intractable, insistently flexible diversity of the real world and programs embedded in it. Experimental and quasi-experimental designs are treated as Procrustean beds, into which programs must fit in order to be evaluated.

Considering the predilection of most academic scientist for "the" scientific method and "objectivity," it is not surprising to often find little distinction being made between basic (experimental) research and evaluation research in the conventional approach to evaluation. Indeed, it has been observed that ". . . the scheme for evaluation does not differ in principle from the usual experiment and resembles quite closely the clinical trial of a drug or the field trial of a vaccine" (Greenberg, 1968).

There are still those (e.g., Campbell, 1971; Rossi, 1967; Longest, 1975; Freeman and Sherwood, 1965; Ferman, 1969), however, who maintain that although it may sometimes be difficult to design and implement a CEE Model, it is still possible to do so in most cases. Their view is that if it cannot be done, then a useful, sound, objective, "scientific" evaluation is not possible and one should not waste his time and effort in such an enterprise. This perspective sees only one appropriate approach to evaluation. Given this view, and critical limitations to the CEE Model, many action programs either will not benefit from systematic evaluation efforts, or new philosophies about evaluation must be evolved and legitimized.



## New Directions: Emerging Alternative to the Conventional (CEE) Approach

Recent evidence has demonstrated that the application of some methodologies (e.g., experimental research designs) to evaluation often has led to: 1) inconclusive findings about programs, 2) evaluation findings that have no impact on program decision making, and 3) lack of appreciation of the roles that evaluation can and should play in the multi-faceted war on social and educational problems (Weiss, 1972; Johnson, 1970).

Both applied and basic research are concerned with producing new and generalizable knowledge, although applied research is "mission oriented" toward the solution of a particular societal problem. Evaluation, however, is focused upon collecting information about specific problems, programs or products (Worthen and Sanders, 1973), and in using this information to arrive at judgments of accomplishment and worth. What is research? What is evaluation? Are they the same, or are they different? These questions cannot be resolved unequivocally. Evaluation clearly is not basic research, which is undertaken primarily to discover new and generalizable knowledge and to test theoretical issues. Yet, many evaluation projects collect empirical data and analyze these data to test hypotheses, and this is research (Johnson, 1970).

In the normal research process, evidence is collected in order to make judgments about the empirical relationships or qualities of the program elements (variables) under investigation. Such evidence is an important aspect of any evaluation. While research activities may be

part of the evaluation process, they are not the sole part. The evaluation process is not complete until value (a judgment of worth) is placed upon what is empirically known about the program being evaluated. Such normative or value judgments of worth are important inputs into decision-making processes about programs. Because evaluation includes the making of judgments of worth, it requires a link between empirical research and the imposition of normative criteria used by program stakeholders in decision making about a program. Evaluation, then, is an undertaking that goes beyond the activities normally associated with research.

Many of the emergent alternative approaches to evaluation differ from conventional approaches in their explicit attention to value judgments (Struening, 1975). Evaluation here means literally that: the attachment of values. It is recognized, however, that other decision makers besides the evaluation researcher also make normative decisions about programs (Edwards et al., 1975). Evaluation research must go beyond hypothesis testing, if it is concerned with that at all. Evaluation should be directed toward determining what is most "effective," "valuable," "desirable," or "useful," rather than simply whether or not a hypothesis was supported, or the relative "benefits" and "costs" of alternative actions. It is concerned with the determination of value (Struening, 1975). But whose values should be reflected or maximized? Generally, the values undergirding decisions are an amalgam of the values of different groups, all holding stakes in the program. The evaluation process must include some technology for explicating, comparing, aggregating, and when possible, reconciling, such inconsistent values for social decision making.

The explicit concern of evaluation with making value judgments about programs or program components places it squarely in the middle of social and political controversy (Struening, 1975). Beal (1974) has noted that development is a normative, value-laden process. He states that:

It [development] assumes a change from an existing state of affairs to a different state of affairs that normatively someone or all will define as a better state of affairs. Thus, if a given process produced a given change it might be regarded by some as a highly functional process if they value the change highly and positively. Others may value the process as dysfunctional (negatively) because they do not accept the change as being good, or better.

Program development and evaluation are value-laden processes. There is a need, therefore, to develop approaches to evaluation that relate closely to the subjective world of programmers, participants, evaluation funders, or other program stakeholders for whom the evaluation is relevant (Logsdon, 1975).

The conceptualization of the "scientific process" in most social research is such that it is impossible or difficult to grapple with political or ethical (value) issues that may arise in conducting program evaluations (Sjoberg, 1975). The political or ethical (value) issues inherent in evaluation are generally neglected in favor of the more technical aspects of methodology (Bogdan, 1975). Yet, political and ethical (value) issues are inherent in any evaluation because: 1) the policies and programs with which evaluations deal are the creatures of political decisions, and 2) evaluation is undertaken to feed into decision making and its reports, therefore, enter into the political arena (Weiss, 1973).

Some social scientists are sensitive to the influence of values with respect to the research process in general. They have not, however, generally incorporated their concern with value issues into their conceptualization of the research process or even into their conceptualization of the evaluation process (Sjoberg, 1975). A construct or model of the evaluation process that focuses on more than the technical and methodological issues involved (i.e., upon the evaluation process as a social enterprise) is clearly needed. Such a model should consider the organizational context, the structural constraints and requirements, the interpersonal interactions, and other forces that influence the evaluator and his program evaluation efforts (Sjoberg, 1975; Gurel, 1975).

Clearly the way in which evaluation is defined and conceptualized has import for the types of evaluation designs or methodologies used (Worthen and Sanders, 1973). Based on distinctions between basic research and evaluation, numerous alternatives to the CEE Model are emerging. In these approaches, evaluation is seen as including the making of judgments or the setting of value. Both description and judgment are viewed as essential elements. But there can be no evaluation until judgment is passed (Stake, 1967). This is critical because evaluation exists (or perhaps only should exist) to facilitate intelligent decision making (Edwards et al., 1975), and the decision-making process is related to the subjective and normative field of program stakeholders.

Another major difference between basic research and evaluation is that in the former the research worker typically determines what type of evidence is needed in terms of criteria relevant to him. Whereas, in

evaluation the evidence and criteria used are usually prescribed, either intentionally or unintentionally, by program personnel and policy-makers. This distinction is important for it means that the possibilities for performing a meaningful evaluation (from a research perspective) depends considerably on the extent to which program planners or administrators anticipate evaluation and incorporate measurement considerations into development plans (Hobbs, 1967). The research approach to evaluation (e.g., the CEE Model) depends heavily upon the existence of development objectives that specify inputs and products (what is to be measured and its level of attainment) that can be readily operationalized by the evaluator (Hobbs, 1967; Suchman, 1967; Freeman and Sherwood, 1965; Voth, 1975). In other words, the goals of an activity must be stated in clear operational terms before evaluation can proceed. Yet, social scientist increasingly are being called upon to evaluate many large-scale development programs where goals or objectives are evolving or vague, and where many actors have "stakes" (often conflicting) in the evaluation. The CEE Model cannot be effectively used in such situations. Yet few (if any) of the newer approaches to evaluation have addressed this point. Some (e.g., Deutscher, 1974, 1975; Ball, 1975) have recognized the need for evaluation approaches for such situations, but have not articulated a systematic evaluation approach for dealing with them.

Emergent alternatives to conventional evaluation approaches emphasize the utility of information (Weiss, 1972), and recognize that it should be of the best quality possible "under the circumstances" (Alkin and Fitz-Gibbon, 1975). Evaluation is not just assessment of goal-attainment but also includes the process of acquiring and using

information necessary for decision making about the planning, programming, implementing, and recycling of program activities. Evaluation should permit a probing of changes in "targets" or objectives during the course of program development and should identify how effectively the "arrows" or programs are launched and the ways they are affected in flight.

As a result of their work, Weiss and Rein (1969) argue for more qualitative and process-oriented evaluation research, especially when action programs contain broad aims and assume nonstandardized forms. They advocate a descriptive, more inductive, systems-process approach to evaluation research. This approach focuses upon learning what is happening in the program (i.e., what is being done) rather than exclusively focusing on what was expected to happen. Deutscher (1974) emphasizes that programs must be carefully observed to determine what is actually happening--not what proposals or program objectives say is to happen. Thus, rather than necessarily requiring clearly specified program objectives (and the underlying theory of the program) from program administrators before evaluation can begin, the theory on which the program is based, including explicit and implicit objectives, may have to be inductively discerned by the evaluator as a continuing part of the evaluation process (Deutscher, 1975).

#### Background to a Systems-Process

#### (SP) Model for Program Evaluation

#### Introduction

Evaluation is much easier to describe in the ideal than to do (Weiss, 1972). One reason for this is seen in a statement by Sjöberg (1975):

Most treatises on the activities of social research methods propound ideal norms which often have no and at best only a vague relationship to what occurs in practice. The actual norms adhered to by the researcher may even be at odds with the ideal ones.

Sjoberg concludes that one cannot adhere to many of the research procedures that writers of research textbooks and monographs say ought to be followed, especially in conducting evaluation studies. He further suggests that ideal norms should be cast in a more realistic manner, and that many actual norms that are implicit need to be raised to a level of consciousness and, perhaps, elevated to the realm of ideal norms. In other words, what we say we do should be what we in fact do, and vice versa.

Despite the voluminous literature on evaluation, a unified framework for evaluators to use in conducting and developing program evaluations has not appeared. What is missing is attention to differences in values, political "styles," and skills to enhance programmatic change and to conduct program evaluations. What appears to be needed is an approach that synthesizes the identification of group goals, values, and needs within the social context of the program/evaluation milieu and a means for making these a functional part of the program and evaluation design (Talmage, 1975).

This dissertation presents an evaluation model for evaluators that meets some of the previously noted deficiencies and needs for program evaluation. This model can aid in the development of program evaluations that are timely and relevant. It also should assist evaluators in better understanding their role and the role of evaluation in the program action efforts at solving social problems.

### Assumptions on evaluation

To understand the model to be presented, it is necessary that a number of assumptions about evaluation or the evaluation process be made explicit. There are five assumptions critical to understanding and using the SP Model.

First, there exist multiple interpretations of reality among program stakeholders, and an essential problem for the evaluator is their explication (Ball, 1975). The underlying philosophies of a program have at their foundation individual preferences or subjective perceptions of well-being (Coleman, 1975). Thus, while there may be only one set of empirical facts or theory ("what is" or "what could be") on which a program functions, there exist numerous value-based or normatively interpreted beliefs or judgments about the empirical facts or theory ("what ought to be" or "what should be"). Decision making about programs derives both from the empirical facts and the value-based or normatively interpreted judgments about the empirical facts. Since program evaluation is supposed to aid in decision making about action programs, the evaluation process must include both the empirical facts or theory of the program and the value-based or normatively interpreted judgments that program stakeholders make about the program and the empirical facts of the program.

While empirical theories may be used to predict results of program actions or operations, they cannot be used to make value judgments about the actions or program operations. One cannot derive what one "ought" to do from statements of fact (Brown, 1975). The essential questions



being examined in policy related and evaluation research are: what is; how do we know what is; what ought to be (Nolan et al., 1975). Concerning the utility and impact of rural sociology, Nolan et al. (1975) stated:

. . . until rural sociologists have some notion of what constitutes the "oughts" of a "good" society there will be very little they can say about social policy. The term "policy" itself implies a preconceived notion of what constitutes the "oughts," . . . .

The same is true of evaluation research. The evaluation process must deal with "what ought to be" as well as "what is" or "what could be."

Judgments with respect to the latter will be colored by the former, and these will have an impact upon the program decision making process for which evaluation is conducted and designed to serve.

Horton (1966) has noted that whatever the possibilities of developing empirical theory in the social sciences, only normative "theory" is appropriate in the sociology of social problems. The problem for the program evaluator is not that normative "theories" are value based, but that these values may go unnoticed so that normative "theories" pass for empirical theories. One of the tasks of the sociologist, therefore, is to recognize his own perspective and to locate this and competing perspectives in time and structure (Horton, 1966). The evaluator must recognize that he is a part of the social system affecting the program being developed, and the efforts directed at bringing about change or solution to a social problem. The evaluator needs to examine his own "domain assumptions" (Gouldner, 1970), and to consider himself as another program stakeholder. This recognizes what has long been known--that social scientists have values and make assumptions about the social order that are

frequently based on normative beliefs rather than empirical theory. In short, they are like everyone else. They have, however, generally resisted admitting to their "humaness."

Second, the evaluation must meet the decision-making needs of at least the major program "stakeholder" groups. This is an explicit recognition that evaluation should serve the practical needs of those having an interest in the program operation or its results. This does not mean that the evaluation should (or must) serve the needs of only some program stakeholders and not the needs of others. It is a recognition that evaluation is to serve the practical needs related to decision making about action programs. The characteristics of evaluation (utility, judgment, action, political and social conflict), however, place the burden upon the evaluator to determine what evaluation needs for which program stakeholders will be addressed. Someone has to want the evaluation and must feel that it is relevant if the evaluator is to receive the resources necessary for the evaluation, or if the evaluation is to have any practical impact upon the program being evaluated.

After reviewing the impact and use of past evaluation research efforts, Weiss (1973) concludes that evaluations are most used when they meet the needs of stakeholder groups. Often this is taken to mean that the evaluation must say what the decision makers want it to say, but this need not be the case. Evaluation is most likely to affect decision making when it uses the values, assumptions, and objectives of stakeholder groups. Yet, Weiss (1973) suggests that if stakeholder groups value the criteria used in the evaluation, they are more likely to give the

evidence a hearing, whether or not the results agree with their own wishes. In other words, even negative judgments about programs may be accepted and acted upon if the criteria used in reaching the judgments are those relevant for decision makers or other program stakeholders. The evaluator is responsible for insuring that the evaluation needs of all stakeholders are considered in planning and conducting the program evaluation. The evaluator must take an active role in considering the values and needs of all stakeholder groups affecting or being affected by the program under evaluation. Given the political nature of evaluation, it is unlikely that the values and interest of all stakeholder groups can be equally addressed by any one evaluation. Each of these groups, however, needs to be made explicitly aware of the others existence and the interests of others. This is what Ball (1975) has called "equitable evaluation"--the best possible representation of all of the various viewpoints which characterize a highly differentiated "open society."

Third, evaluation is most likely to affect decision making about action programs when it includes potential users of the evaluation or program stakeholders as active participants in the evaluation process. Evaluation as input into decision making about action programs emphasizes the need for continuing interface and interaction between the evaluator and program stakeholders. Those who are to make changes in the program or who are affected by the program need to be actively and continuously involved in the evaluation process (Steele, 1975).

Fourth, the evaluator is responsible for making the elements or issues involved in the evaluation process known to program stakeholders.

Much of what occurs in any program evaluation process is frequently not made explicit to program stakeholders. As a result, the understanding or use of the evaluation may be limited. The evaluator needs to insure that program stakeholders have an understanding of the issues involved in any evaluation and in their particular program evaluation. This is an educational role that is important if the evaluator is to successfully work through the evaluation process with program stakeholders.

Fifth, it is assumed that there is no single data collection technique or procedure inherently more appropriate for program evaluations than any other data collection technique or procedure. Some evaluation models or evaluators have tended to structure the entire evaluation process by their insistence upon the acceptability of only a certain type of data or data collection procedures for evaluation. Data, no matter how collected or of what nature, is not meaningful for any particular program evaluation if it is unrelated to the other phases or issues involved in the entire evaluation process. In other words, data collection techniques or procedures used in evaluation must be appropriately matched to the dynamics of the programs operation and its evaluation. Techniques used must be as methodologically sound and reliable as possible. They must be, however, relevant and meaningful for other program stakeholders, and be operational within the program context.

#### Systems-process approach to evaluation: an overview

Although there is little agreement on what a "systems evaluation model" should be like, it is generally recognized that programs fulfill other functions and have other consequences besides achieving official

goals and that these are worthy of study (Weiss, 1972). The systems approach is essentially a perspective which involves taking into account the full complexity of an activity--its starting point, its environmental context, its constraints, its interaction with external features and the interrelationships between its internal components. The system itself, is viewed as an interrelated assemblage of components (hardware, software, people, procedures, etc.) which function together in achieving a result (Johnson, 1970).

A systems model of evaluation is concerned with establishing a working model of a program (Schulberg and Baker, 1968). A systems evaluation not only involves the specification of subsystem components and their interrelations, but leads to the identification of sources of tension and conflict within the program system. By using a systems evaluation approach and by studying the structural context in which a program is developed, integrated and delivered, one is better able to identify factors that might assist in understanding and/or predicting outcomes of such programs in the future (Olien et al., 1975).

A focus upon process analysis (what is happening) is a way to avoid a misplaced emphasis upon goal attainment and some of the deficiencies of a CEE Model. Process analysis recognizes that the evaluator is involved in analysis of an outgoing social act--one that is seen as in constant flux and amenable to new definitions. By assuming that things may be changing during the course of a program, the research effort shifts from assessing accomplishment of preordained goals to the discovery of "processual consequences" or to a consideration of "what is happening" (Deutscher, 1974).

Using a systems-process approach for evaluation recognizes: 1) that elements affecting or being affected by the program should be included as components of the "program system," 2) that interrelationships between subsystems should be examined for their affect upon the program results, and 3) that the program system and its subsystems are involved in a dynamic and ongoing social act that is in constant flux and amenable to new definitions. A systems-process approach is very important if we want to know not only what results are produced by a program, but also what aspects of the system or its operation did or did not contribute to the results obtained. This is especially critical if meaningful changes are to be made in future programs to enhance the probability of achieving results of even greater value.

#### Major phases and issues in the SP Model

The Systems-Process (SP) Model divides the evaluation process into four major phases. These include:

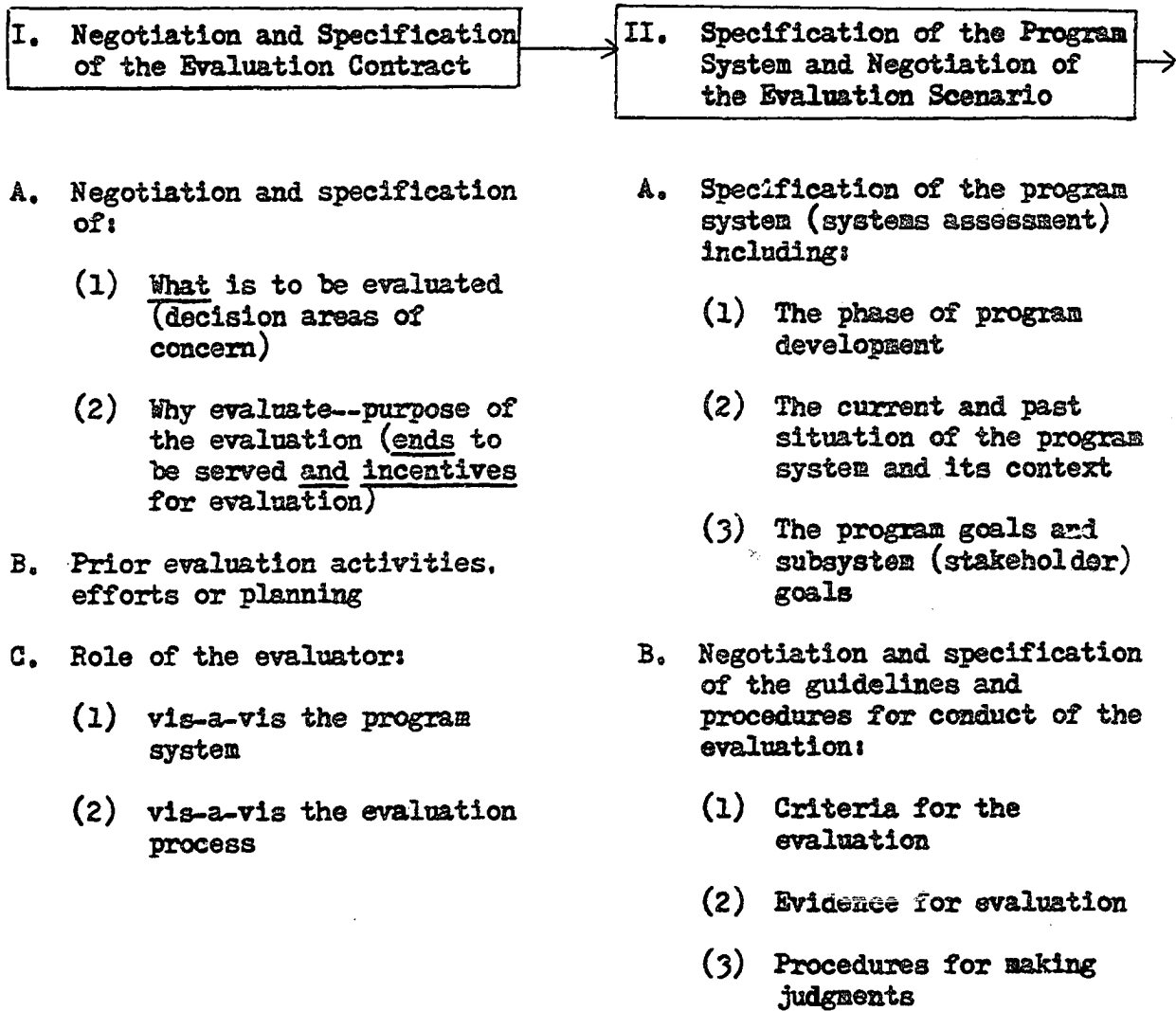
- I. Negotiation and specification of the evaluation contract.
- II. Specification of the program system and negotiation of the evaluation scenario.
- III. Evidence collection.
- IV. Evaluative judgments and evaluation utilization.

These phases of the evaluation process and their related issues have received some attention in the evaluation literature (e.g., Weiss and Rein, 1969; Moe, 1974; Steele, 1973, 1975; Stufflebeam 1967, 1968; Alkin, 1969; Deutscher, 1974, 1975; Alkin and Fitz-Gibbon, 1975; Edwards et al., 1975; Twain, 1975). There has not been a concerted attempt, however, to

integrate these phases of the evaluation process and their accompanying issues into a comprehensive, practical model for guiding evaluators through the evaluation process. The SP Model is such an attempt.

The next four chapters are devoted to presenting and discussing the four phases that make-up the evaluation process, and the key issues encountered at each phase. Interrelationships between the various phases and issues also will be discussed. Table 1-1 sets out the issues related to each phase of the evaluation process that are presented and discussed.

Table 1-1. A Systems-Process (SP) Model for program evaluation





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**III. Evidence Collection**

- A. Specification of data to be collected
- B. Specification and implementation of data collection techniques or procedures

**IV. Evaluative Judgments and Evaluation Utilization**

- A. Making evaluative judgments
  - B. Reporting evaluation data and/or judgments
  - C. Evaluation utilization
-

## CHAPTER II. NEGOTIATION AND SPECIFICATION OF THE EVALUATION CONTRACT

### Introduction

This chapter presents some of the major issues and information needs that evaluators must consider in their initial negotiations about evaluations. It is not intended to be exhaustive, but rather to focus attention on several critical issues important in use of the SP Model.

The issues discussed in this chapter often are the basis for further negotiation in later stages of the evaluation process. While these issues may later be re-opened, their early, if only temporary, resolution will still serve to aid the evaluator in: 1) the decision of whether or not to undertake the program evaluation (if he is not already so committed), 2) the identification of potential constraints on the conduct of the evaluation, and 3) the formalization of a mutual understanding of the evaluator's role and *modus operandi*.

The first phase of negotiation and specification of roles and responsibilities is often neglected, consciously or unconsciously, in conceptualizing the evaluation design or strategy of search. Weiss (1973) has observed in this regard:

Only when the evaluator has insight into the interest and motivations of the other actors in the system, understands the roles he himself is consciously or inadvertently playing, realizes the obstacles and opportunities that impinge upon the evaluation effort, and the limitations and possibilities for putting the results of the evaluation to work--only with sensitivity to the politics of evaluation research can the evaluator be as creative and strategically useful as he should be.

The evaluator often must work within guidelines and constraints that may be inflexible or beyond his control. This fact underlines the importance of this first phase to the eventual success of an evaluation.

What is understood between the evaluator and program stakeholders concerning the program and its evaluation may be unwritten, but the entire agreement needs to be made explicit (Twain, 1975). The evaluation contract should not only bind all parties involved, but also should represent as fully as possible their varying interests (Twain, 1975). Such an evaluation contract should emphasize "with" and "by" rather than "for" and "to" (Pratt and Canfield, 1975).

Negotiation of the evaluation contract is often concluded in a relatively brief time. This should not, however, detract from its significance. Nor should it necessarily limit the evaluator to negotiating the major issues involved with only the sponsor of the evaluation. Although it is recognized that not all stakeholders can be actively involved at this stage, it is the joint concern of the evaluator and the evaluation sponsor to insure that relevant stakeholders are included or considered as appropriate. One of the dilemmas faced by the evaluator is that he must initially negotiate his contract with the evaluation sponsor, but must maintain his integrity as an evaluator with all stakeholder groups throughout the evaluation process. Thus, the issues initially discussed come to be frequently re-negotiated.

This first phase of the evaluation process normally represents the evaluator's initial contact with those program stakeholders interested in sponsoring an evaluation. The preliminary contacts between the evaluator and program stakeholders are crucial in determining the potential for

research by honestly assessing the constraints which may derive from the ideological or political viewpoints of stakeholders, as well as their perceived pay offs. There are many problems to conducting any kind of action research when researchers must work in the program's arena of action and operation. Problems may be generated by ideological differences, by difficulties inherent in applying social science techniques to social problems, or by conflicts in perceived goals, priorities, or professional obligations. Collaboration is the hallmark of action research, and evaluation is no exception. Collaboration must be built and maintained through continued negotiation and interaction involving not only the evaluator and the program administrator but also including other program stakeholder groups (Twain, 1975).

As used in the SP Model, the term "negotiation" is viewed much more broadly than is normally the case. It is not intended to imply that negotiation represents or necessarily leads to consensus. Negotiation, as used here, does mean that dialogue and interaction occurs between program stakeholders (including the evaluator), which leads to development of a working relationship for the conduct of a program evaluation. Agreement on a working relationship for evaluation, however, does not mean that consensus necessarily exist among program stakeholders concerning issues involved in the program or its evaluation. Development of a working relationship means that a "symbiotic" relationship has been developed rather than necessarily meaning that consensus has been reached. The amount of consensus existing concerning the specific issues involved in the evaluation process is always a variable. The SP Model, therefore, should not be viewed as a consensus model.

## Negotiation and Specification (A)<sup>1</sup>:

### What is to be Evaluated, and Why

The problem facing the evaluator here is in obtaining answers to such questions as: 1) what facets of the program are to be evaluated, 2) why are they to be evaluated (for what purpose), and 3) what are the incentives supporting evaluation within the program system? In other words, about what aspects of the program are judgments needed or desired, what decisions about the program or its consequences are to flow from the evaluation, and what motivating "rewards" or incentives are available to encourage the evaluator and other program stakeholders to engage in, or endorse, a program evaluation effort?

The program decision maker or sponsor of the evaluation, not the evaluator, normally determines the aspects of the program to be evaluated. The evaluator can and should, however, point out inconsistencies, potential difficulties, or additional issues or information that might modify the decision maker's views on the relevance of certain concerns or information (Alkin, 1969). Evaluators need to clearly articulate evaluation needs so that they can conduct an evaluation that best accomplishes these needs (Weiss, 1972).

The evaluator, then, is an interested party in delimiting and describing the problem areas for evaluation. But this task requires the efforts both of the evaluator and the program decision maker or evaluation sponsor (Twain, 1975).

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<sup>1</sup>Letters in brackets of major subheadings refer to key issues identified for the evaluation process by the SP Model shown in Table 1-1.

Determining the purposes for which an evaluation is to be conducted is important for several reasons. These purposes affect the depth and scope of the evaluation. They also spell out the objectives of the evaluation, and define the policy guidelines within which it must be conducted (Schulberg and Baker, 1968; Stufflebeam, 1969). The researcher, therefore, has to be knowledgeable about the political context within which the evaluation is to be conducted and used because of their affect upon the evaluation.

Although it may be impossible to identify all of the reasons for which an evaluation is being sponsored or sought, it is essential to identify as many as possible (Schulberg and Baker, 1968). Persons engaged in program evaluation soon learn that an evaluation performs different functions for different people. If the evaluator is not careful, he may find himself "used" for some partisan purpose which he did not anticipate (Voth, 1975). There are both covert and overt reasons for an evaluation being sought (Bogdan, 1975). The evaluator will want to be sure that what he is to do will not be in conflict with his code of ethics as an evaluator (whatever they may be).

Some of the more overt or common reasons frequently given for conducting a program evaluation include: 1) to provide an account of the program's effectiveness, 2) to improve the program, 3) to train program staff, participants, or others about the program's effects and/or the process for developing an ongoing internal evaluation process aimed at program improvement, 4) to help get funding, 5) to provide answers to pertinent questions about the program, and 6) to provide basic information applicable to related subject areas (Logsdon, 1975; Griessman, 1969).

What may appear to be acceptable reasons for conducting a program evaluation need to be carefully examined by the evaluator before he agrees to conduct an evaluation. Even these generally acceptable reasons for conducting an evaluation may become unacceptable to the evaluator when the "for whom" and the "by whom" are examined along with the "how used." The evaluator may find, for example, that the evaluation is to be used in bolstering a failing program, or to further the interest of some program stakeholders at the expense of others. This may present the evaluator a moral or ethical dilemma.

A number of covert reasons for conducting program evaluations also have been suggested. Some of these covert reasons include: 1) to settle or arbitrate an internal dispute, 2) to justify decisions already made, 3) to support a bid for power, 4) to postpone action, 5) to add prestige to an organization or agency, 6) to place the responsibility for a decision on someone or something outside the organization, 7) to get special non-evaluative services from the evaluator (e.g., organization of data or information, administrative services, to serve as a "scapegoat," etc.), and 8) to legitimize and justify the program (Caro, 1969, 1970; Dexter, 1966; Bogdan, 1975; Griessman, 1969). Potential operation of these covert reasons means that the evaluator must look beyond the reasons for conducting an evaluation that are provided by the evaluation sponsor. He must become knowledgeable of the political context of the program evaluation and of such things as: inter-agency rivalries, intra-organizational rivalries or conflicts, pending legislation, the history of the program, upcoming elections, etc. (Bogdan, 1975).

The importance of the evaluator appreciating covert, as well as overt, reasons for conducting a program evaluation cannot be over stated.

Bogdan (1975) has written:

While in all research the possible uses and misuses of what you create cannot always be foreseen, because evaluation research is conducted for specific people at a specific time, you can have a good idea of its immediate consequences. To conduct research of this kind without developing a sophisticated understanding of the larger context in which you are operating is irresponsible and is a good way to lose your integrity.

It is a characteristic of program evaluation that the reporting of data and judgments is not to a far-flung and generally anonymous community of people desiring knowledge (scientific community and journals), but to specific people who are intimately concerned with the program--generally (but not always) decision makers (Alkin and Fitz-Gibbon, 1975). The evaluator who wishes to maintain his integrity and to avoid being "used" must identify who will use the evaluation and the means through which it will be disseminated or used. Control of knowledge about programs is power.

Closely related to identifying the purposes of the evaluation (ends to be served), and the aspects of the program to be evaluated (decision areas of concern) is the identification of incentives for evaluation. In other words, why should the evaluator, the evaluation sponsor, program participants or other program stakeholders want to become involved in an evaluation effort or even be supportive of that effort? Lack of proper incentives at any or all levels of the program system may create barriers that effectively block the evaluator in his efforts to conduct an evaluation. Evaluators, for example, may be denied access to program



records or participants. Persons within the program system cannot be expected to facilitate the evaluation without some "reward" or incentive.

#### Prior Evaluation Activities, Efforts or Planning (B)

Central to the evaluator's understanding of potential constraints in the conduct of the evaluation and his role in it is a knowledge of previous program evaluation activities, efforts, or plans for evaluation. These often can provide some indication of the structure and focus that is pre-determined for the evaluation. The evaluator also may obtain important insights into the types of evaluation activities that might be possible. Additionally, previous evaluation activities provide an indication of the evaluation sponsor's understanding and knowledge of the evaluation process. All of this can be very useful information to the evaluator who is trying to determine whether or not he will, or can, perform an evaluation. The evaluator will want to look at the previous evaluation efforts or plans as they relate to all phases of the evaluation process.

Examining previous efforts to evaluate a program can help the evaluator better understand the purpose of the evaluation and what is to be evaluated. If the structure or focus of the evaluation process is strictly specified and pre-determined, the evaluator may find himself relegated to the role of "technician." Such a role is easily exploited by program stakeholders (especially by the more powerful ones) for their own ends. In such cases, the evaluator might find himself involved in a process that is at odds with his own moral or ethical stance, or in conflict with the moral or ethical stance of others. The evaluator also

may find that he can make no contributions to the evaluation process other than through his "mechanical" skills as a "technician."

Previous efforts to evaluate a program (or to plan for evaluation) may provide insights into the program stakeholders perception or conceptualization of the evaluation process. If program stakeholders do not have a good understanding of evaluation (and they have developed plans for evaluation that reflect this lack of understanding), the evaluator may find himself in an "up-hill fight" to implement and conduct a viable evaluation. Knowledge of such potential constraints also should suggest additional key questions or issues that the evaluator may want to raise with program stakeholders in the negotiation of the evaluation contract.

#### Role of the Evaluator (C)

The assumptions on which the SP Model operate indicate that an active and dynamic role will be required of the evaluator. The role of the evaluator as "catalyst and critic" is central to the entire evaluation process (Caputo, 1973). Part of the evaluator's task is to facilitate the sponsor's need to consider and solve a problem. The evaluator does this by providing relevant information, by guiding the evaluation sponsor through the steps of the decision process (the evaluation process), and by sensitizing him to decisions required by the process as they arise (Provus, 1970). In his role of catalyst and critic, however, the evaluator must do more than accept the definition of the situation and needs as expressed only by the evaluation sponsor.

The relationships negotiated and developed with respect to the evaluator vis-a-vis the program system and with respect to the evaluation

process are closely intertwined and are of critical importance for conducting evaluations. Early in the development of an evaluation design, an understanding of the roles of the evaluator in relation to program stakeholders and the operation of the program must be established (Brack, 1975). At issue here is: 1) how does the evaluator relate to the other stakeholders in the program system, and 2) what is the relation of the evaluator to the decision-making process about program operation. The various stakeholder groups affected by an evaluation may be neither placid nor entirely cooperative with the evaluator's attempts to document the change efforts and the effects of change (Talmage, 1975). It becomes very important, therefore, for the evaluator to insure that the organizational structuring of the program is arranged so that it not only accommodates the evaluator and his activities, but also is reasonably supportive of his efforts.

With respect to the relation of the evaluator to the other stakeholders in the program system, the evaluator needs to be located in a position within the program system so that he cannot legitimately be excluded from the interactions and communications involved in the day-to-day operation of the program. How this will be accomplished within the organizational structure of the program system needs to be determined before the evaluator agrees to conduct the evaluation. It very directly structures the conduct of the evaluation process, and will affect the role the evaluator can play in both the evaluation and program operation. Although evaluators should be adept at learning and utilizing the informal channels available in any organization or program operation,

they also need to have explicit, formal and legitimate channels (and standing) within the program and the system in which it operates. If the activities of the evaluator are not considered legitimate, or if his needs and request for assistance are not supported with proper incentives within the system, the evaluator will not be able to conduct a meaningful and useful evaluation.

With respect to the relation of the evaluator to the decision-making process about program operations, a major consideration is in negotiating the amount of clout the evaluator will have with respect to the operation of the program (Alkin and Fitz-Gibbon, 1975), both during and after the evaluation process. Freeman and Sherwood (1965) believe that if the evaluator is to act responsibly as an agent of social change through his evaluation efforts, it probably is mandatory for him to engage in program development. The dilemma, however, is in the degree of involvement in program operation and administration that is necessary or desirable. The evaluator needs to be in a position to input results of the evaluation process into program management and operation, and to integrate considerations for conducting the evaluation into the program operation. Because of the consequences for conducting and utilizing the evaluation, and the implications upon the management of the program operation, both the evaluator and the program administrators have a need to explicitly develop the relationship between the evaluator and the program operation. This is intertwined with explicating the relationship of the evaluator vis-a-vis the evaluation process. This relates closely to the issues and concerns discussed previously with respect to identifying the purposes for the evaluation.

In examining the role of the evaluator in the evaluation process, two major considerations frequently discussed in the evaluation literature are: 1) the external versus the internal evaluator (e.g., Johnson, 1970; Leinhardt, 1975; Caro, 1969), and 2) differences in orientations toward the program or its evaluation between evaluators and program staff personnel or administrators (Caro, 1969; Ferman, 1969; Gurel, 1975). The evaluator needs to be aware of the advantages and limitations he has as an inside or outside evaluator. While these are not points that can be negotiated, it is important that their affect upon the evaluation process and its development be fully understood not only by the evaluator, but also by the evaluation sponsor and other program stakeholders. Understanding the differences in orientations toward the program and its evaluation that exist between evaluators and other program stakeholders also is important for the conduct of the evaluation negotiations. Again, these are not issues that are necessarily open to negotiation, but that need to be recognized for the affects they may have on the evaluation process.

Evaluators also need to recognize that they have many needs as evaluators and individuals (e.g., money, security, etc.) which make them vulnerable in their relationships to the interest of various program stakeholders. The evaluator must insure that such needs are explicitly provided for separate from the conduct of the evaluation. The evaluator, however, must be prepared to quit if program stakeholders are not sufficiently supportive of the evaluator's needs or his evaluation efforts (Bogdan, 1975). The evaluator who wishes to maintain his integrity and

to engage in a meaningful evaluation-program relationship must place considerable energy and importance upon the development and maintenance of his role and organizational relationships. What is to be evaluated and why has a critical impact on the kind of role relationships the evaluator will be interested in developing to support the evaluation effort. Concrete organizational support for the evaluation process must be a legitimate element within the structure of the program system.

### CHAPTER III. SPECIFICATION OF THE PROGRAM SYSTEM AND NEGOTIATION OF THE EVALUATION SCENARIO

#### Introduction

In this phase of the evaluation process, the evaluator begins his efforts in earnest. This phase encompasses two activities that rarely can be separated in practice, although they are normally conceptualized separately--the specification of the program system or context, and the negotiation of the evaluation scenario. These each involve multiple elements or issues, all of which are interrelated.

This phase is the real "heart" of the evaluation process. It is where the critical guidelines for the conduct of the evaluation are developed. The structure of the evaluation phases that follow are greatly affected by these guidelines.

#### Specification of the Program System (A)

##### Introduction

It has been suggested that new programs may stumble around for a period of time looking for a rationale, a strategy of action, or procedures for operating before they settle on a course of action (Weiss, 1972). and that various other changes may occur as a program progresses through time (Edwards et al., 1975). Specification of the program system (all program stakeholders and their relationships to one another) is an assessment or "mapping" of the program and the social system in which it developed and exists. It is aimed at learning such things as: 1) the

phase of development the program is in, 2) the current and past situation of the program system and its context, and 3) the explicit and implicit goals or objectives of the program and program stakeholders with respect to the program operation. The exploration or specification of the program system and its context represents a continuation of the planning for evaluation that was initiated in the first phase of the evaluation process. It is important, first, because knowing the outcome of a program is only part of the evaluator's job. He also must learn enough about the actual development and operation of the program (rather than just what was planned) to be able to map the program's basic features (Weiss, 1972). Second, the mapping of the program system is important for identifying the potential constraints or limitations to the type of evaluation that can be conducted.

Discussion of this phase of the model is directed to the "focal system" and does not consider numerous external environmental factors that may impinge upon such systems. It should not be construed from the emphasis here that external environmental factors are unimportant in understanding a program or in developing a program evaluation. Rather environmental factors external to the program system are not discussed because of the sizeable number and complexity of such factors that operate.

#### Phase of program development

An evaluator using the SP Model must develop and conduct the evaluation within the program development context. Both Stufflebeam (1967), and Bennett and Nelson (1975) note the relationship between evaluation processes and program development. Three stages in the program



development process may be identified--planning, programming/specification, and implementation. The planning phase of program development is basically concerned with "what to do." Here the concern is with identifying priority problems and ultimate objectives. Programming/specification is the program development phase designed to determine how to utilize resources to meet program goals and objectives. This is a concern with "how to do it." In this phase shorter-term "enabling" objectives are accepted by new and existing specialized organizations, and staff for these organizations is recruited and/or trained. The implementation phase of program development relates to "doing it." This means actually conducting the program, including contracting additional people to participate in it. Ultimate aims of the program are to be achieved through implementation. Thus, it is important to identify the phase of the program to be evaluated, and the phase the program is in when the evaluation process occurs. This provides clarification of the program issues and concerns that can be appropriately dealt with in the evaluation. It also provides directions for evidence collection.

Clearly, any evaluation effort must be placed in, and be operationalized within, the context of a program development phase or phases. The general outline of the evaluation process involved in evaluating each program development phase, however, need not vary from phase to phase. There are not different evaluation types or models that are appropriate to specific stages of program development (Edwards et al., 1975). Evaluation efforts should, ideally, be developed simultaneously

with the program. Not only would a fuller evaluation of all stages of the program development be possible, but the quality would be enhanced as well.

The reality of program development, as it relates to evaluation, is typically less than ideal, however, especially with most large-scale federally supported development programs. Development programs (or many of their individual projects and activities) typically have progressed through several of the initial program development phases before any serious attention is given to evaluation. Where the need (or requirement) exists for "local" participation and coordination with other institutions and agencies, program development that is less than ideal tends to frequently occur. Program planning in such cases usually takes place in a very short time period. The development of objectives and strategies is, thus, often general or vague. Initial concern is with getting the program going (e.g., funded and implemented). It is only after program implementation has begun that attention is turned to evaluation. The resulting negotiations that occur may tend to be limited in some respects because of this. An evaluation can, however, still be conducted even though it may be limited. Limitations will be clear, but using the SP construct will still allow for the development of the best possible evaluation within the existing circumstances, and it is better than no attempt at systematic evaluation. Evaluation situations that diverge from the "ideal" cannot be ignored by the social scientist.

#### The current and past situation of the program system

Any evaluator must know something about the current and past operation or functioning of the program system and the larger system of which it is

a part. The evaluator needs to identify the major subsystems related to the program, how and why they are related to the program, and the needs which the program is serving for program stakeholders. He also needs to understand the structural arrangement of the system and the nature of the power relationships involved. Once the evaluator has an understanding of the current situation, he should naturally seek to determine and understand the situation and forces that led to the structuring of the current system in which the program exists and operates.

With his knowledge of the current and past situation, the evaluator will be in a position to begin picturing the needs that the program may be serving for individual stakeholder groups or individuals. This may suggest what the goals or objectives of the program actually are, and/or what should be the objectives of the program. An understanding of the current and past operation or functioning of the program system, and the larger social system of which it is a part, serves two major purposes. It aids the evaluator in better understanding the results produced by a program, and it familiarizes him with the system within which he must operate.

### Program goals

Much has been written in the evaluation literature about the specification of program goals and objectives for the evaluation of programs. Although program administrators may have formally specified goals and objectives for the program, the evaluator should not immediately accept these at face value.

The evaluator is responsible for determining the program goals and objectives as a part of the exploration of the program system. Based on what he observes and learns about the functioning and operation of the program system, the evaluator should be able to engage program stakeholders in dialogue concerning the objectives of the program. Through this negotiation of reality, the evaluator should "tease out" and make explicit the real objectives of the program. Obtaining authentic statements of intent is a new challenge for the evaluator, and the methodology for doing so remains to be developed (Stake, 1967). In other words, the evaluator may have to infer program goals and objectives from the operation of the program and his observations (Twain, 1975; Johnson, 1970). As a part of this process of explicating program goals and objectives, the evaluator will have to "insistently" (Twain, 1975) help program stakeholders state their program objectives.

Clarifying the objectives of a program may be difficult for a number of reasons. First, many social action programs are based on legislation that emphasizes broad or vague objectives. Such objectives make it difficult to evaluate a program. The program and its administrators cannot be easily criticised or condemned, and they can almost always point to some evidence that suggests they are successfully fulfilling their mission. Second, it already has been noted that many programs may be implemented before program objectives are well developed. When this is the case, program administrators simply cannot articulate anything other than their own personal objectives or operational objectives. A third difficulty with many programs is that while objectives or goals may be articulated (whether poorly or not), program stakeholders or administrators

frequently cannot (may not or will not) provide a linking theory or rationale between the program operation and the program objectives.

The evaluator should not expect to find one set of objectives that is agreeable to all program stakeholders. Each will have their own perception of what the program objectives are and the theory on which they are based or from which they are derived. The evaluator needs to make these explicit and to sensitize all stakeholders to the orientations of others. This, then, makes possible the evaluation of the "worth" of program objectives rather than just seeing if they are being achieved (Scriven, 1973). It also makes it possible for the evaluator to begin explicating the elements critical to the making of judgments about the value or worth of a program--criteria, evidence and procedures for making judgments.

It is not possible, however, to examine all objectives that may exist for a program for all stakeholders. Determination of those that are to be examined will undoubtedly be affected by the distribution of power among program stakeholders. Nevertheless, the evaluator is responsible for insuring that all objectives (manifest or latent) are at least explicated, and that all program stakeholders are sensitized to them, even if they are not all examined in the evaluation.

#### Negotiation and Specification of the Guidelines and Procedures for Conduct of the Evaluation (B)

##### Introduction

The negotiation and specification of guidelines and procedures for the conduct of an evaluation deals with the development and explication

of the elements critical to an evaluation or the making of judgments about the value or worth of a program (the "evaluation scenario"). It is the final planning element for the conduct of a specific program evaluation, and is aimed at identifying: 1) the criteria to be used in arriving at judgments about the program, 2) the types of evidence necessary and acceptable for the program evaluation, and 3) the procedures to be used in arriving at judgments about the program.

### Criteria

In order to complete the evaluation process, judgments of the worth or value of programs must be made. To establish value implies that a standard of measurement or criterion exist (Udell, 1975). A basic step in any program evaluation, therefore, is the selection of the criteria of value to be used as a standard in making judgments about the program. The findings of an evaluation study depend upon the criteria chosen and the operationalization of the criteria employed, as much as they depend upon the workings of the program being evaluated (Whitaker, 1974).

Criteria are the basic organizing framework for evaluation, just as hypotheses are in research (Steele, 1975). Criteria tell us what the program should be achieving. A criterion is a measure against which something can be judged. It may be a rule, a standard, a norm, an object or a condition, or behavior that is considered to be "good," "ideal," or of "high merit." It's a description or image of what a valuable (suitable, high quality, effective, important, and/or efficient) program is like. Criteria form the basis for interpreting information and making judgments

(Steele, 1973). Criteria also indicate what information is to be presented, organized, and interpreted in the evaluation process (Steele, 1975).

Evaluation is implicit in all social systems (Sjoberg, 1975). Yet, the results of any evaluation are not value-free. Any given program or activity may have different value or meaning between individual stakeholder groups, and these expectations may be divergent or conflicting. The values of stakeholder groups also cannot be expected to remain constant. This variability of values, both in time and in focus, makes an evaluation specific to the program stakeholders and time for which it is being conducted, and emphasizes that evaluation is a continuous and dynamic process (Johnson, 1970). In other words, the evaluator must recognize that he faces not a world of positive "facts" but congeries of overlapping social realities that are distributed across an interdependent social structure (Ball, 1975). None of these is inherently more "appropriate" or "realistic" than another--even those of "disreputable" stakeholder groups should be considered (Ball, 1975).

Disputes between evaluators and program personnel over evaluation results and utilization generally turn out to be disputes about what should count as "good," rather than disagreements over the straight forward "facts of the situation" (Scriven, 1973). It is the evaluator's responsibility to assure that the scope and diversity of values or standards to be used as criteria by or for the various stakeholder groups in making judgments about a program are known (Stake and Denny, 1969). Each stakeholder group can make up its own mind as to the weight they will assign to the criteria and values expressed by other stakeholders. Provus (1970) has emphasized the importance of this position when he said:

Unless the values underlying evaluation standards are made explicit and public, it is unlikely that any institutional evaluation will adequately serve the needs of America's burgeoning participatory democracy.

### Evidence

Evidence to be collected and used in the evaluation process derives directly from: 1) the purpose of the evaluation, 2) the aspects of the program to be evaluated, 3) the criteria to be used, and 4) the opportunities and limitations for data collection. The evidence or data collected should be that which is directly germane to making judgments about the program. Evaluators, unfortunately, frequently become more concerned with the reliability of the data than with its relevance. Ideally, data collected for evaluation should be both reliable and relevant. This is not always the case, however.

In this phase of the evaluation process, the evaluator is not interested in determining exact or specific evidence to be collected for the evaluation. Rather, the evaluator is interested in learning the general types or sources of data used by program stakeholders. Such data is trusted and considered relevant by stakeholders, and this increases its utility. The evaluator must strive for relevant data because only data considered relevant by program stakeholders will be acted upon in making decisions about the program. Where the reliability of data (from the evaluator's perspective) may be questionable but the program stakeholders see the data as relevant, the evaluator must ask--"if I do not provide program stakeholders with the "relevant" (but not totally reliable data) will they then make their decisions on even less reliable data that they obtain from other sources or on their own?" If program stakeholders are



going to use data that is not totally reliable (but which is considered highly relevant), the evaluator should provide them that information. This does not mean that the evaluator cannot attempt to "educate" stakeholders to the desirability of using other data. Data and its sources, however, must be considered relevant by program stakeholders if they are to use it in making decisions about the program.

Knowledge of data and sources considered relevant by program stakeholders can help the evaluator prepare for the next phase of the evaluation process (data collection). It begins to "cue" him to appropriate sources of data for the evaluation, and the types of data collection procedures that may be appropriate. Knowledge of this nature also provides a broad framework within which elements or issues of the data collection process can be further developed by the evaluator.

#### Procedures for making judgments

Many "evaluation reports" provide only descriptions of programs (i.e., stop after presenting statistical evidence of what has occurred) without making the judgments required to complete the evaluation process (Steele, 1975). Data must be interpreted, and interpretation rests with people. Whether or not evaluators should make these judgments about programs is a major controversy in the theories about evaluation (Alkin and Fitz-Gibbon, 1975). This, however, is an ethical or moral issue for the individual evaluator.

Whether or not the evaluator is to make judgments is not the central issue at this point. The key issue, here, is in identifying who will make the necessary judgments, and how they will proceed in making them. In

other words, what are the procedures to be used in making judgments about the program and who will be involved in this process. These should be negotiated and determined prior to implementing formal data collection efforts (Alkin and Fitz-Gibbon, 1975). Procedures for making judgments have important implications for the conduct of the evaluation, data to be collected, the way it is to be processed, and the role of the evaluator.

Activities of the evaluator in facilitating the evaluation process impact directly upon the procedures used in making judgments about the program. This is true even though the evaluator may not be directly involved in the judgment-making process. The evaluator does, however, develop data collection efforts that feed into this process. Preparation and the dissemination of such data, in addition to its collection, must be designed to facilitate the procedures used in making judgments by those who will be charged with that obligation.

## CHAPTER IV. EVIDENCE COLLECTION

### Introduction

The evidence collection phase of the evaluation process is of a different nature than the previous phases. In this phase, the evaluator is concerned with the systematic and formal collection of data for the evaluation. This is the implementation phase where the evaluator is involved in accomplishing what has been set out in the previous phases. The evaluator's success in this phase of the evaluation process depends heavily upon how well previous phases were developed, and on how well the evaluator can mobilize what has been learned.

Technical aspects of data collection have probably received more attention in the evaluation literature and research methodology texts than any other aspect of evaluation. These technical aspects generally can be approached more objectively than other issues related to the evaluation process, largely because they are typically isolated from all considerations except whether or not they will provide the data desired. What has generally been neglected, is the relation of data collection to other aspects of the evaluation process. The CEE Model is a case in point. In it, the data collection procedures (experimental design) and the measurability (quantification) of variables are used to determine what specific data will be collected. This does not necessarily mean, however, that the data collected will be useful or relevant for program stakeholders. Rigid adherence to the techniques dictated by the implementation or use of a CEE Model also may adversely affect the operation of the program being

evaluated. After all, not all programs can be administered, operated or manipulated for the convenience of the evaluation researcher. There are limits to which programs can be manipulated to facilitate specific data collection procedures or techniques.

The evidence collection process is the phase in which the evaluator is concerned with systematic and formal collection of data for the evaluation. He is concerned, first, with specifying and identifying the relevant data for collection. A second concern is in selecting and implementing the most appropriate and acceptable data collection techniques or procedures. This second concern makes the relationship of the evidence collection process to the program operation an issue of major importance. The primary emphasis in this phase of the evaluation process is upon the relevance of data collected and the appropriateness of data collection techniques to the program operation. The scientific acceptability and/or methodological adequacy of the data collection techniques are important, but they are not affected by the other issues in the evaluation process. Since the emphasis is upon the evaluation process, and because there is a vast literature on the scientific acceptability or methodological adequacy of various data collection techniques, this discussion will not pursue the "methodological" issues involved in data collection. This does not mean, however, that these are unimportant or that the evaluator need not be concerned with them.

The SP Model places the data collection process and its major considerations in perspective within the total evaluation process. The issues to be outlined here, therefore, are those that deal more directly

with the relationship of the evidence collection process to the total evaluation process.

#### Specification of Data to be Collected (A)

It has been noted that value questions are the sine qua non of evaluation and usually determine what information is sought (Worthen and Sanders, 1973). Data to be collected must be closely keyed to the purposes of the evaluation, the aspects of the program about which judgments are required, criteria developed, and the uses to be made of the data (Stufflebeam, 1967, 1969). The type of data collected also must be considered relevant and reliable by the users, even if the evaluator may not be completely satisfied. After all, the user is the one who will decide to use or not use that data or the resulting evaluations, not the evaluator. The "appropriateness" and "purity" of the data to be collected and used in the evaluation consequently must be negotiated with all major stakeholder groups or their representatives. What is acceptable evidence for one may not be acceptable to others (Schulberg and Baker, 1968). While the evaluator is in a position to educate decision makers or other program stakeholders to the reliability or relevance of certain kinds of information, the final criterion must be that the evaluation sponsor and/or major stakeholders consider the data collected to be reliable and relevant for their needs (Randell, 1969). This does not, however, exclude decision makers or others from receiving data on issues foreign to their own values, but which may be quite germane to the values of other program stakeholder groups (Edwards et al., 1975).

Several classifications of data types for evaluation have been developed. The one used here is derived from the CIPP Evaluation Model (Context, Inputs, Processes, Product) developed by Stufflebeam (1967, 1968) and modified by Moe (1974), and from the seven-level hierarchy of evidence suggested by Bennett and Nelson (1975). It has been noted that issues involved in previous phases are important precursors of the specific types of data to be collected. The CIPP data collection format shown below suggests general types of evidence that might be obtained in the evidence collection phase.

- 1) Defining the context within which the program is being pursued, including establishing some base lines or known starting points from which planned attempts to achieve goals and objectives can be measured. This includes inputs, activities, and people that are involved in the program, or involved with the problem in the pre-planning phase. It might also include reactions to the pre-planning state of affairs.
- 2) Documenting the inputs, the things that are being done, the program and activities initiated and the resources used to bring about change and to achieve goals and objectives. This might appropriately include documentation of resources, activities, and people involved.
- 3) Documenting the processes or the ways in which programs are being implemented. It would detail ways in which planning is done, the decisions made, the communication channels established, the interaction patterns that emerge, the critical incidents that occur, interpretations of and changes in policies, and other features. The same elements and considerations mentioned for documenting the inputs may be involved. Additionally, data may be collected on reactions, changes in knowledge, attitudes, skills and aspirations (KASA changes).
- 4) Documenting the products or the outcomes (effects) of what is done. This may appropriately include consideration of inputs, activities, people involvement reactions, KASA changes, practice changes, and the ultimate results of practice changes.

The CIPP format is a very cursory outline of types of data that an evaluator might consider collecting in an evaluation. Determination of the specific data to be collected is one of the most difficult tasks that the evaluator faces. It should be greatly facilitated by what the evaluator has learned in the previous evaluation phases. If not, then the evaluator is left to those suggestions for data collection provided by his own perceptions, or to the suggestions provided by other researchers (e.g., to the CIPP format). Regardless of the specific data collected, however, it merely provides descriptive evidence about the program. No specific data provides an evaluation of a program. Data is only one input into the total evaluation process (Worthen and Sanders, 1973).

It should be noted that context data collection (defining the context in the CIPP format) was discussed previously under specification of the program system. If the program has not been implemented before the evaluator reaches the data collection phase, the evaluator may want to collect base-line data for use in an experimental or longitudinal analysis framework before the program is implemented. If the program has already been implemented, however, the potential for collecting additional base-line data may be limited.

Documentation of inputs and processes is very important if the evaluator is to show how the program was actually implemented and conducted (Alkin and Fitz-Gibbon, 1975). This is meaningful for understanding why a program had the effect it did. Documentation of inputs and processes is important if program stakeholders are to make changes in future

programs. Documenting inputs and processes also allows the evaluator to monitor the progress of the program and to determine if changes in the program or its operation have occurred. Changes in programs may reflect changes in objectives or the theory on which the program was based. Such shifts need not only be documented and examined, but they also may require that the evaluator re-negotiate some issues previously negotiated for the evaluation. This may lead to a re-structuring of the evaluation process and may negate the utility of data collected to that point. The evaluator must recognize that the potential for this occurring is present in any evaluation. In other words, evidence on program inputs and processes serves: 1) to identify or flag those problem areas in program implementation which deserve attention and may require intervention from program staff or administrators, and 2) to give validity to interpretations of product evaluation information (Macy, 1975).

Documenting the products or results of a program concerns the collection of data about the consequences of a program after it has run its course. It is a concern with the ultimate effects of the program. A frequent problem for the evaluator, and for stakeholder groups, is knowing when to expect ultimate results of a program to have been reached. Many programs have objectives or goals that may take an undetermined number of years before it is possible to learn if they have been achieved or not. What is a reasonable length of time, for example, for job trainees to find full-time employment after they have completed a training program, where the ultimate objective is for the trainees to obtain full-time employment? Unanticipated consequences, however, may occur at any time.



This may make the immediate evaluation of some programs, in terms of their ultimate impact, difficult or impossible within a limited time period.

### Specification and Implementation of Data

#### Collection Techniques or Procedures (B)

Techniques or procedures to be used in data collection are necessarily affected by such factors as time constraints, resources available, and the nature and operation of the program being evaluated. The nature of the evaluation process is such as to encourage the use of a wide variety of techniques (Caputo, 1973). Data for evaluation may need to be collected from a number of sources, and the whole arsenal of research techniques available to the evaluator should be considered in selecting the most appropriate techniques (Weiss, 1972).

A problem frequently facing the evaluator in the data collection process is the limited utility of existing or standardized measures of variables. Programs with a large number or variety of activities and with a small number of clients may limit the usefulness of existing standardized measures, questionnaires, random sampling, or statistical analysis (Udell, 1975). Existing measures also may not be directly relevant to the program or the type of evaluation needs to be served by the evaluation. In such cases, the evaluator may have to develop his own measures. The evaluator, however, will need considerable organizational support and resources to develop his own measures in such a situation. Where these are lacking, the amount or types of data collected will

necessarily be limited. The "scientific" reliability and validity of measurement instruments also may become increasingly questionable. Better alternatives, however, may not be available to the evaluator or they may be unacceptable to program stakeholders for a variety of reasons.

Constant intrusion into program operations for data collection can be a source of friction with program staff and other stakeholders (e.g., participants; Weiss, 1972). Close cooperation between the evaluator and program staff, therefore, is required in data collection efforts (Alkin and Fitz-Gibbon, 1975). This is closely related to the role of the evaluator discussed earlier. Program administrators or staff are not going to allow data collection activities that they feel are disruptive or incompatible with the program operation. Close cooperation between evaluator and program staff in data collection efforts also strengthens the likelihood that the results of the evaluation will be used.

The evaluator is responsible, then, for the selection and/or development of instruments for data collection (Alkin, 1969). An important factor related to the development and/or selection of data collection techniques and procedures is the nature of the program and its operation. Techniques and instruments for data collection must be compatible with the nature of the program and its operation.

When possible, the evaluator or his staff should collect all of the data to be used in the evaluation. In many cases, however, the evaluator may have to rely on program staff or other program stakeholders to collect and report at least some information. Where this occurs, the evaluator has a responsibility to monitor the authenticity of data

collected and reported by others. This emphasizes, again, the need for the evaluator to be in a position, with respect to the program operation, where he can monitor and verify the data collection efforts of other program stakeholders (Alkin and Fitz-Gibbon, 1975).

## CHAPTER V. EVALUATIVE JUDGMENTS AND EVALUATION UTILIZATION

## Introduction

Once data has been collected and organized, the process of setting value on that data begins. This phase is central to the ultimate utility and impact of evaluation. There are two major facets in examining the results of a program--description and evaluation (Steele, 1975; Stake, 1967). Description provides evidence of what occurred. Judgments about the worth or value of programs (and decision making about future programs) are improved when they are made by comparing evidence about the programs against criteria of what is felt should exist, or what is valued. Evidence and criteria are essential to forming sound judgments, but neither separately constitutes judgment.

Evaluative judgments about programs will need to be communicated to relevant program stakeholders by the evaluator. These may be delivered in a variety of ways at any stage of the program development process. How and when this is to occur is of major concern. Communication of evaluative judgments is largely pre-determined by the other issues in the evaluation process. One of the major problems for a program evaluator is how to insure that the results of an evaluation will be utilized (Ferman, 1969). The assumptions discussed for the SP Model make it clear that the success of the evaluator's efforts are to be measured by whether or not the evaluation is utilized (assuming it can be utilized). The evaluator must keep this utilization uppermost in his mind at all times throughout the evaluation process. If the evaluation is properly developed and

executed in the early stages of the evaluation process, utilization should naturally follow because: 1) the evaluation meets the needs of stakeholder groups, 2) the evidence will have been evaluated in terms of criteria meaningful to stakeholder groups, and 3) utilization will have been explicitly planned and agreed to before results of the evaluation are known. Central to the utilization and communication of evaluation results is the moral and ethical stance of the evaluator, as well as the selection and use of techniques involved in communicating evaluation results.

This is the phase of the evaluation process that turns what might otherwise be research into evaluation. Without this phase the evaluation process is incomplete. This phase of the process has received little constructive attention in the evaluation literature. Few, indeed, are the recognitions of the evaluator's responsibilities and concerns with the issues in this phase of the evaluation process. It is difficult at this time, therefore, to do more than identify some of the issues involved.

#### Making Evaluative Judgments (A)

Assuming that the procedures to be used in making judgments about the program were negotiated earlier in the evaluation process, the concern of the evaluator here is in the implementation of these procedures. At this point, the criteria, evidence and the procedures for making judgments developed in the earlier phases are brought together to complete the evaluation process by making the necessary judgments about the program to fulfill the purposes for which the evaluation was conducted. The evaluator has an interest in seeing that the making of judgments proceeds as originally intended and is consistent with the way in which the

evaluation process has been defined and developed. Otherwise, the evaluator may, at the very least, find himself accused of not conducting the evaluation in accordance with the needs and concerns of the evaluation sponsor and/or the major stakeholder groups.

Use of the SP Model facilitates the process of making judgments in this phase. The SP Model fully acknowledges that there is no wholly objective methodology available for the evaluator or program stakeholders to use in the interpretation of evaluation results (Guba, 1975), but it facilitates the explication of the values and evidence that are involved. In this way, it helps to stimulate development of procedures for making judgments and the role of the evaluator in this process.

A question that is frequently raised with respect to the making of judgments is, who passes judgment? Ideally, it should not matter. The evaluation as information should speak for itself when the relevant criteria are applied. If the evaluator passes judgment, it should be because the evaluation process has dictated the resulting judgments to him just as it would to any program stakeholder (Alkin and Fitz-Gibbon, 1975) using the same criteria. Use of the SP Model allows for the structuring of the evaluation process so that judgments about the program naturally flow from the evaluation process. This does not mean that there necessarily will be only one interpretation of the evidence come out of the evaluation. After all, each stakeholder group may use different criteria in evaluating the same evidence. Anyone applying the same criteria to the evidence, however, should arrive at the same judgments about the program, whether or not the criteria is that which they consider relevant.

It will be a rare evaluation where the evaluator is not expected to be directly involved in the making of judgments about a program. He may not be solely responsible for making the judgments, but he almost always will be involved as an active participant in the process of making judgments. The evaluator can facilitate the making of judgments in a number of ways. Some of these are: 1) by the data or evidence he provides, and 2) by showing how criteria previously developed can be applied to the data in making judgments. The evaluator also should be prepared to go beyond the results of the evaluation and to prescribe new directions for the program's future conduct or operation (Ferman, 1969).

Explicit procedures for making judgments of worth or value about programs being evaluated have not been well articulated or developed. Two recent attempts to articulate procedures for making judgments in evaluation are Logsdon's (1975) "group process evaluation model" and the "multi-attribute utility measurement" of Edwards et al., (1975). Logsdon is basically proposing that all program stakeholders join together in a series of meetings to jointly review data, and to make judgments about the program along with recommendations and decisions concerning the program. The "multi-attribute utility measurement" is a quantitative procedure that allows different groups to use the same data to reach conclusions in line with their own values or criteria. In it, each outcome to be evaluated is located on each dimension of value for each stakeholder group by procedures for data collection that may consist of experimentations, naturalistic observations, judgmental perceptions, or some combination of these. This procedure has been worked out in considerable detail, but has not been widely applied or used as yet.

### Reporting (B)

In this phase of the evaluation process, the evaluator will find it necessary to report data, judgments, or both, to various program stakeholders. Such reporting is of a different nature than the reporting of basic research. The form in which the evaluation data or judgments will be organized and reported depends on who will use it and the means through which they are to receive or use it. In other words, evaluation reports for program participants may need to be organized and reported differently than an evaluation report for program staff or administrators. Similarly, an evaluation report that is verbal will need to be prepared and organized differently than one that is to be written or on film. Reports of evaluation must be designed for action and utility by practitioners, not other scientist in pursuit of more basic knowledge (Steele, 1975).

The evaluator needs to be able to determine his responsibilities and authority in the preparation and dissemination of evaluation information. Bogdan (1975), for example, has suggested that evaluators will want to be sure from the outset that they have freedom to publish the results of their research without the approval of the evaluation sponsor. This should be negotiated before the results of the evaluation are known. An evaluation that produces a great deal of information or knowledge about a program can have no impact if dissemination or use is tightly controlled, or if it is not appropriately prepared and organized for those who are to receive it and the way (means) in which they are to receive it (e.g.,



verbal, written, film, summary vs. detailed, etc.). These issues all are closely related to the purposes behind the evaluation and the role of the evaluator which were discussed previously. They are discussed here, however, because they are of critical importance in the final utility and impact of the evaluation upon the program being evaluated.

Stake (1969) has noted that there are numerous guidelines and forms available for writing evaluation reports. He was able to develop from these a general outline for evaluation reports that included the major considerations of these other guidelines. The major headings included: objectives of the evaluation, specification of the program, program objectives, relationships and indicators, and judgments of worth. The elements contained in Stake's outline for evaluation reports are similar to some of the elements found in the SP Model. Finally, it has been noted that evaluation reports should never be couched in the language of statisticians or end with using tests of significance alone (Baxter, 1970; Morgan, 1971). Consideration also should be given to putting a brief summary of conclusions and recommendations at the beginning of the report rather than the end. This may aid in attracting the attention of individuals who do not routinely read through complete research-type reports (Steele, 1975).

One area of evaluation reporting that has been totally neglected, is with respect to the medium or media to be used in presenting evaluation results. Previous comments relate almost entirely to written reports. How should evaluation results be presented in using film, radio, popular

journals or magazines, or other means of communicating evaluation results? The vast evaluation literature contains little or no guidance for program evaluators on the use of these methods in reporting a program evaluation. Evaluators can probably learn much from students of journalism and/or mass communications that would aid in reporting evaluation results to various program stakeholders and in using different means for doing so.

#### Evaluation Utilization (C)

One reason suggested for why evaluations have had so little impact on programs, is that they have not met the information needs of those for whom they were conducted (Weiss, 1972). The utilization of evaluation results is clearly affected by such factors as: the purpose of the evaluation, the criteria developed and used, discrepancies between plans and operation of the program, the corruptibility of evaluators, human and political factors, and the degree to which the evaluation is meaningful to program stakeholders (Guba, 1975; Schulberg and Baker, 1968). The whole aim in using the SP Model is to develop and conduct an evaluation that will meet the needs of as many program stakeholders as possible by bringing these issues into the open and dealing with them. These issues have been discussed and developed throughout the SP Model. The natural consequence of dealing with these evaluation issues will be to enhance the probability of the evaluation being used.

Although the above issues are critical to enhancing the utilization of the evaluation, there are other factors over which the evaluator may not only have no control but which may not become known until after the

evaluation is complete and it is time to use the results. Examples of such factors include the ability to make the changes necessary, the timing and circumstances, etc. (Davis and Salasin, 1975).

Davis and Salasin (1975) have commented on the apparent high level of frustration among evaluators because of the lack of perceived support provided for their evaluation activities. They suggest that this frequently results because evaluators do not see or are not involved in the evaluation utilization, or because evaluation sponsors do not expect evaluation to contribute directly to program planning or operation. A solution that has been suggested for this dilemma and for facilitating evaluation utilization, is for the evaluator to play an evaluator/change consultant or agent role (Davis and Salasin, 1975). In other words, evaluation and planned change can and should go together. They can be effectively accomplished or facilitated by involving the same individual in both activities.

If the evaluator is able to play some direct role in the planning, implementation or operation of a program, he will need to be in a position to insure that what is learned from the evaluation will be fed into the program development process at some point. This means that the evaluator must have a legitimate role in the program development process that allows him to insure that evaluation results are at least considered. It does not mean, however, that he should be directly responsible for the program development, or the success or failure of the program.

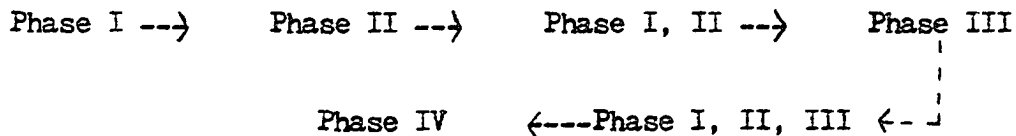
Evaluators, and critics of evaluation, must move from their present preoccupation with evaluation as an end in itself and begin to think in

terms of evaluation as part of policy planning and management systems (Buchanan and Wholey, 1972). The conclusion of the evaluation process need not be an end of the evaluator's contribution to the development of the program being evaluated. The evaluator could not only provide an evaluation but could and should extend the results of it into concrete recommendations and suggestions for the program. It would appear to be natural, indeed, for the evaluator to develop and make such recommendations within a framework or theory of planned change. The evaluator, thus, can easily and naturally move from the role of evaluator to the change agent role. In fact, the evaluation process of the SP Model lends itself to this gradual transition from one role to the other.

## CHAPTER VI. CONCLUDING COMMENTS ON THE SP MODEL

Although the issues involved in each phase of the evaluation process are generally discussed separately, it should not be assumed that they can necessarily be negotiated separately. Nor can it be assumed that the order in which they are discussed is the order in which they always can be addressed. What is important, however, is that each issue be explicitly addressed within the appropriate phase of the evaluation process.

In using the SP Model, it is important to realize that each of the major phases builds on previous ones. The development of the issues within any one phase also may lead to a need to re-develop or return to previous phases to re-develop or re-negotiate the entire phase or major issues within the phase. This means that the actual evaluation process may look more like that shown below.



Using the SP Model can help an evaluator develop as meaningful and useful an evaluation as possible. It also will provide the evaluator with an explicit rationale for each step in the evaluation process. It does not, however, guarantee the performance of the evaluator. Evaluation is a mutual endeavor with program stakeholders. It requires an evaluator who is sensitive to the social dynamics and pressures involved in any social endeavor. The evaluator must have the skills and form of a tight-rope walker. These are developed only through experience, and such

experiences require that the evaluator occasionally "fall" from his tight-rope.

The SP Model presented and discussed here primarily relates to formative program evaluations undertaken by an internal evaluator in order to make needed changes in ongoing programs. This is not intended to imply that only one type of program evaluation can be undertaken. Program evaluations may be undertaken by evaluators external to the program system, or to determine and report summative evaluations after the program has completed operations. The general issues or considerations relevant in developing the evaluation process (as shown in Table 1-1), however, are the same regardless of the type of evaluation undertaken or the role of the evaluator. The major difference would be in how the issues are approached or resolved.

As presented here, the issues identified for the evaluation process (as given in Table 1-1) are approached and discussed only for an evaluation where the evaluator is internal to the program system, and where the emphasis is upon conducting a formative evaluation. This is done for two reasons: 1) the evaluations from which the SP Model developed were of this type, and 2) to avoid confusion in presenting the model.

The model shown in Table 1-1 is an evaluator's model for structuring and guiding the evaluation process. It is an attempt to delineate the issues salient in any program evaluation. Its purpose is to insure that the evaluator consciously and explicitly consider some key issues in conducting a program evaluation. Although designed and discussed from the perspective of the program evaluator, it also could be used to sensitize

program administrators, decision makers, and other stakeholder groups to the issues involved in designing evaluations that will meet their needs. Twain (1975) has noted that while the specific nature of any action-research effort will vary according to the particular constraints and available resources in each situation, essential to the success of any such undertaking is the adaptation of a strategy of search. The strategy of search differs in the action setting from the "academic" search in that it recognizes and incorporates the real concerns of the agency, the needs of the population served, and the values of society. The SP Model is offered as a strategy of search for program evaluation.

It has been suggested that the answers to the problems of evaluation studies may lie in developing a sociological evaluation approach which stresses the socio-political processes of reality construction within a dynamic general systems framework (Ball, 1975). The SP Model can be viewed as a first attempt at developing such a model for evaluators. The SP Model can be used in program evaluation to deal with both "what ought to be" or "what should be," and how these relate to "what is" or "what could be." Such an evaluation would provide meaningful guidance to program stakeholders on how to maximize the "what ought to be" (Pratt and Canfield, 1975). The SP Model can facilitate such an evaluation because it provides a framework of the entire evaluation process, and identifies some major issues in the evaluation process with which the evaluator must contend in developing a program evaluation.

PART TWO-ILLUSTRATION OF MODEL USE



## CHAPTER VII. INTRODUCTION TO PART TWO

The SP Model presented in the first part of this dissertation represents both a synthesis of the evaluation literature and my experiences in conducting several evaluations under the Iowa Title V rural development program. I entered into agreement to conduct the Title V evaluations with little prior sensitivity to the several issues encompassed in the SP Model. Upon agreeing to conduct the Title V evaluation, I had to devote considerable time to reviewing the evaluation literature and to elucidating the specific issues that must be addressed in conducting an evaluation. The result of this effort was an earlier version of the SP Model. Through efforts to utilize this initial model in several Title V evaluation efforts, the final version of the SP Model presented here was evolved. Consequently, many of the insights gained and expressed in the model are more a result of reflection on personal experiences in making the Title V evaluation than the ingredients of a pre-determined strategy actually used in making the evaluation.

The second part of this dissertation presents some selected experiences from the Title V rural development evaluation effort that illustrate several major dimensions of the SP Model. These illustrations are drawn from several different evaluations undertaken in relation to the Title V rural development program in Iowa. The illustrations reveal my perceptions of how the several issues identified in the SP Model were handled in the Title V evaluation, or how they otherwise impinged on the evaluation process. It must be emphasized, however, that the Title V illustrations are presented only from my perspective as an evaluator.

The presentation and discussion of illustrations from Title V, therefore, may not concur with the perceptions of other Title V actors. These illustrations, nevertheless, serve to clarify some of the issues presented in Part One of the dissertation.

## CHAPTER VIII. TITLE V OF THE RURAL DEVELOPMENT ACT OF 1972

## Introduction

The purpose of this chapter is to provide a brief overview of Title V of the Rural Development Act of 1972 and its required evaluation. This will include a brief description of the organization and operation of the Iowa Title V program. This background is necessary to an understanding of the model illustrations that are described in later chapters.

## Overview of Title V: Purposes and Rationale

The purpose of Title V, as specified in the Rural Development Act of 1972 (Public Law 92-419, Title V, Section 501), is to support programs of rural development so as " . . . to encourage and foster a balanced national development that provides opportunities for increased numbers of Americans to work and enjoy a high quality of life throughout the nation . . . ."

The primary objectives of Title V are:

- 1) to provide. . . those involved with public services and investments in rural areas, or that provide or may provide employment in these areas, the best available scientific, technical, economic, organizational, environmental, and management information and knowledge useful to them, and to assist and encourage them, in the interpretation and application of this information to practical problems and needs in rural development;
- 2) to provide research and investigations in all fields that have as their purpose the development of useful knowledge and information to assist those planning, carrying out, managing, or investing in facilities, services, business, or other enterprises, public and private, that may contribute to rural development;

- 3) to enhance the capabilities of colleges and universities to perform the vital public service roles of research, transfer, and practical application of knowledge in support of rural development; and
- 4) to expand research on innovative approaches to small farm management and technology and extend training and technical assistance to small farmers so that they may fully utilize the best knowledge on sound economic approaches to small farm operations. (This last objective has not been funded by the Congress.)

It is clearly stated in Section 507 of the Rural Development Act that the attainment of these objectives rests upon a program for "rural development." As defined in Title V (Section 507), rural development includes:

- 1) the planning, financing, and development of facilities and services in rural areas that contribute to making these areas desirable places in which to live and make private and business investments;
- 2) the planning, development, and expansion of business and industry in rural areas to provide increased employment and income;
- 3) the planning, development, conservation, and use of land, water, and other natural resources of rural areas to maintain or enhance the quality of the environment for people and business in rural areas; and
- 4) the processes and procedures that have said objectives as their major purposes.

Specification of the objectives and activities that are appropriate for inclusion in a state's Title V program was intended by the Congress for use as a guide in developing and/or examining state programs. The Title V legislation also specified that each state's program " . . . must include research and extension activities directed toward identification of programs that are likely to have the greatest impact upon accomplishing

the objectives of rural development in both the short and longer term" (Section 505). While each state's immediate Title V objectives may differ from objectives stated in the Rural Development Act of 1972, it was required that they be consistent with the larger Title V objectives and, thus, contribute to the attainment of these objectives.

Although passed in 1972, funds for Title V were not appropriated until October, 1973, and were not released to states until December, 1973. Funding, however, was at a significantly lower level than was originally intended by the framers of the Act. Iowa received a little over \$92,000 for each year.

Title V does not exist in a vacuum. Numerous groups with interests in the Title V program have been identified for federal, state and local levels by Larson (1974), and Tankersley (1974). The interests of these groups in Title V affects the present conduct of Title V as well as its evaluation. Larson (1974) suggests, for example, that the existence of Title V is tenuous at best because: 1) Congress is waiting for evidence that the land-grant institutions can do what their spokesmen have claimed, 2) enthusiasm for Title V in the parts of the Executive Branch charged with supporting budget requests has not been great, and 3) some articulate parts of the system of higher education in the United States are disappointed about their lack of a role, or the minor role assigned them. Tankersley (1974), likewise, has noted that there are diverse interests concerned with the creation and the evaluation of Title V. While the need for improvements in the social and economic vitality of the nation's rural sector has stimulated interest and concern in rural development,

Title V was not passed simply because Congress felt it was the best or only way to conduct rural development. Both Larson (1974) and Tankersley (1974) note that Congress, the Executive Branch, and many other groups reluctantly passed or supported Title V with a "wait and see" attitude. Almost all visualize Title V as strictly an experimental or pilot effort. Title V and the land-grant institutions are seen as having to prove their worth before Title V will be expanded beyond the pilot stage.

#### State Level Title V Organization (Iowa)

The guiding objectives behind the operation of Title V as stated in the first Iowa Plan of Work (February 1974) are:

- 1) To work with citizens, communities, and local county and regional groups to identify priority research and extension needs.
- 2) To serve as a liaison between the pilot area and the research and extension faculty, by communicating and interpreting informational and technical assistance needs of both groups.
- 3) To organize local resources in assisting with the collection and/or dissemination of needed information.
- 4) To organize and implement educational programs related to priority needs identified for the pilot area and consistent with the objectives of rural development.
- 5) To develop information that will assist citizens, groups, and organizations in the pilot region to effectively realize one or more of the rural development objectives they identify.

The overall organizational structure of Title V provides the means (along with individually approved field projects) by which the state's Title V objectives are to be attained. The Iowa Title V organizational system contains eight major elements. Several of these elements are

overlapping in their composition. Familiarity with these elements helps in understanding later illustrations of the SP Model. Diagram 8-1 sets out the Title V organizational elements.

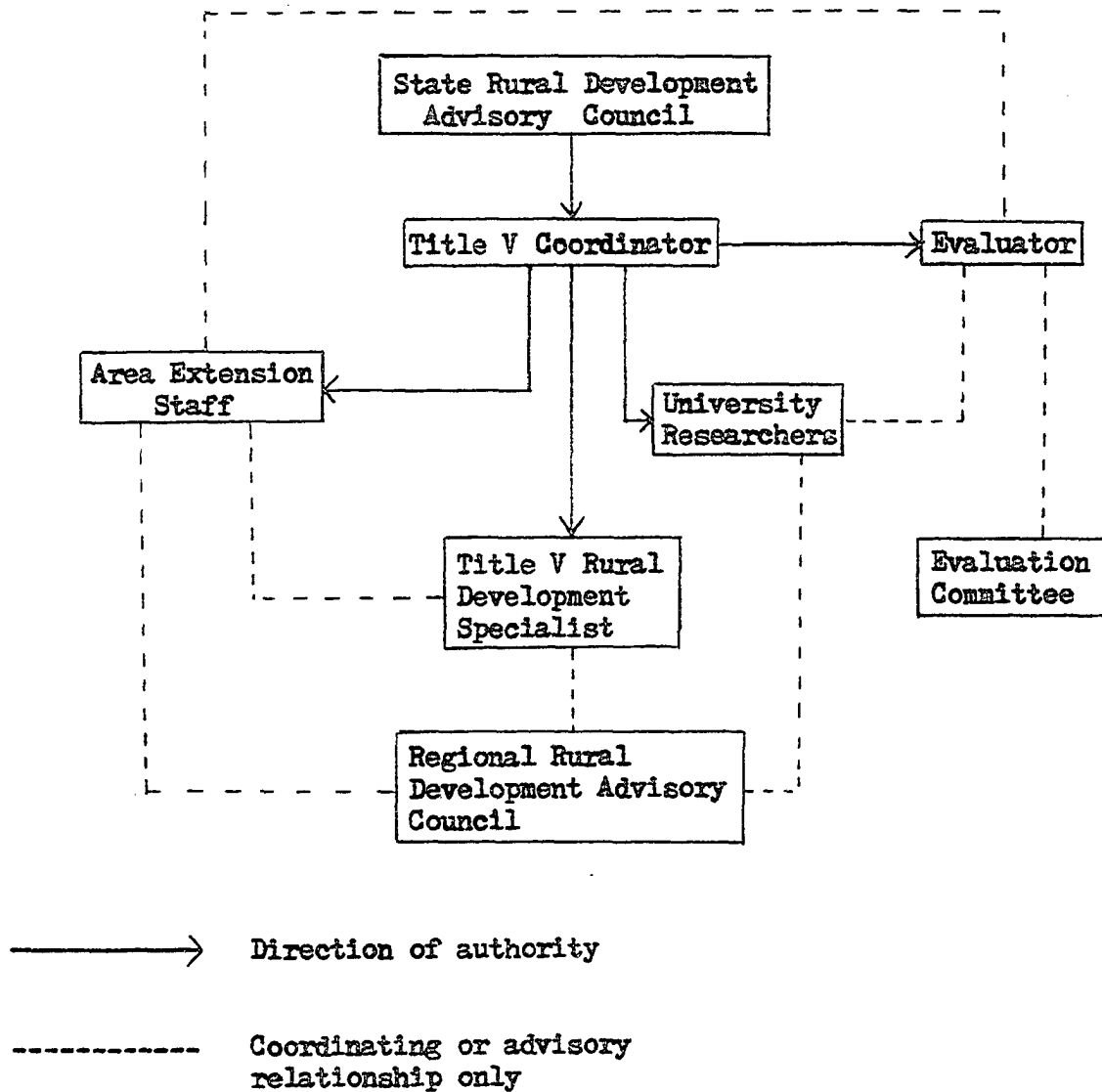


Diagram 8-1. Title V organizational or program system

Responsibility for overall guidance of each state's Title V program is mandated by Title V to a State Rural Development Advisory Council

(SRDAC) of not more than 15 members. The Rural Development Act specifies that this council will be appointed by the president of the land-grant university in each state, and that he will appoint an official who is responsible for the overall coordination of the state Title V rural development program. In Iowa, the Dean of the College of Agriculture was selected. He also is required by Title V to act as chairperson for the SRDAC. Guidelines for the composition of state councils also were contained in Title V. The SRDAC is the only element of the Title V organizational system specifically mandated by the Rural Development Act. The initial membership of the Iowa SRDAC included the following:

1. Dean College of Engineering, State University.
2. Farmer, Speaker of the House, State House of Representatives.
3. Senior Vice-President, Land O'Lakes Cooperative.
4. Dean of University Extension and Director of Cooperative Extension, State University.
5. Homemaker.
6. President of State Association of Private Colleges and Universities.
7. Dean, College of Agriculture, State University.
8. Associate Director, Agriculture & Home Economics Experiment Station, State University.
9. State Conservationist, Soil Conservation Service.
10. Farmer.
11. State Director, Farmers Home Administration.
12. Homemaker, member of Regional Planning Committee Governor's Conference of the State in the Year 2000.
13. Banker.



14. Sec.-Treas., AFL-CIO.

15. Governor's Executive Assistant.

The SRDAC delegated operational control of the state Title V program to a Title V Coordinator. The current Title V Coordinator selected also is the Assistant Director of the Agriculture and Home Economics Experiment Station, and an Assistant Director of the Cooperative Extension Service. Leaders of individual research or extension projects funded under Title V report directly to the Title V Coordinator. Many of the university researchers involved as project directors in Title V independently are responsible to the Title V Coordinator in his role as Assistant Director of the Experiment Station. The same is true of the Extension personnel involved in Title V programs. The Title V Coordinator, thus, is theoretically in a position of considerable authority and influence with respect both to Extension and university personnel who are involved in Title V.

A "Regional Rural Development Advisory Council" (RRDAC) was organized by the Title V Coordinator and the Area Extension Director in June of 1974 in the area of the state selected for implementation of Title V. The objectives articulated in the second Iowa Plan of Work (April 1975) for the RRDAC are:

- 1) Be advisory to the Title V administrators and the State Rural Development Advisory Council on the identification, establishment of priorities and implementation of research and education projects which relate to the goals of RDA '72.
- 2) Serve as communicators from local and area leaders and organizations to the total committee and from the committee to people and organizations throughout the six-county area.

The 35 member RRDAC included representatives of communities, organizations, agencies and local government throughout the six-county area. Minorities and women were included on the committee. Although not specifically required by the Rural Development Act, the RRDAC was organized because of the emphasis in the federal and state Title V objectives upon involvement of local leaders. The organization and use of the RRDAC is the means by which local leaders and agencies are made part of the decision making apparatus pertinent to rural development programs in their area.

To facilitate coordination between the state and regional councils, the Title V Coordinator, and the Title V field projects, a full-time Rural Development (RD) Specialist was hired in July of 1974. The RD Specialist is located in the Title V pilot region with the Area Extension Staff.

Beginning in June of 1975, the Title V Coordinator employed a half-time evaluator to evaluate the state's Title V program. The evaluator later recommended formation of an "Evaluation Committee" to act as a sounding board in the development of the evaluation, and to provide a review of the completed evaluations. The role of this committee will be discussed later. The Evaluation Committee was comprised of representatives of all major Title V program stakeholders. Members of this committee were selected by the Title V Coordinator and the RD Specialist in consultation with the evaluator. Members of the committee include: 1) the Title V Coordinator, 2) the RD Specialist, 3) the Area Extension Director, 4) one project director (university researcher), 5) two members of the RRDAC, and 6) one SRDAC member who lives in the Title V pilot area.

### State Level Title V Operation (Iowa)

The SRDAC selected a six county rural area surrounding a city of approximately 32,000 (approximately 60 miles north of the state university) as the geographical focus for the state Title V program. Implementing instructions from the USDA had suggested that each state should concentrate Title V efforts in a pilot area where immediate results might be forthcoming. This suggestion was made because of the initial low level of funding for Title V, and because of its experimental nature. The area selected in Iowa was chosen because it was considered typical of Iowa's rural areas, and because some previous efforts had been made to identify development needs in the pilot region.

Given the philosophy behind Title V in the state, and the need to work with area residents and existing organizations and agencies, a wide variety of research and extension projects related to rural development have been initiated at various times. It was planned that all research projects would be followed with some extension activities and that each project would include one or more Extension specialists as project consultants. A brief descriptive summary of current and completed Title V projects is given in Appendix A (projects that are the current focus of major evaluation efforts are indicated by an asterisk). Projects implemented under Title V include:

- 1) a study of the factors affecting rural industrialization in the pilot area,
- 2) a study of land use and land use policy preferences in the pilot area,

- 3) the collection and analysis of secondary economic data for the pilot area,
- 4) the collection and analysis of secondary population data and social characteristics for the pilot area,
- 5) the development and dissemination of objective indicators of well-being relevant for decision makers in the pilot area,
- 6) the determination and dissemination of area resident's perceptions of the quality of life in their communities and their expectations for their communities,
- 7) assistance to community residents in improving the quality of housing by teaching simple home repairs and supporting community efforts toward improving housing,
- 8) the teaching of techniques for finding and applying for employment (for those who are unemployed or under-employed),
- 9) the developing of an awareness among young homemakers about services or assistance available to them from organizations and agencies in their community, and
- 10) assistance to rural governmental leaders in carrying out their duties by developing and using the resources available to them, and by sensitizing them to the concerns of area residents.

With the initiation of the Title V program in Iowa, the Title V Coordinator held several meetings for university and Extension personnel whom he felt might be interested in submitting proposals for Title V projects. The purpose of these meetings was to explain Title V and to indicate the types of project proposals that would be consonant with its objectives. Many of the proposals for the above listed projects resulted from this effort. Later, some specific needs were identified by other Title V elements. Those identifying specific needs submitted project proposals, or specific individuals (university researchers or Extension personnel) were approached and asked to consider submitting a proposal for a Title V project related to identified needs. In all cases, project proposals were first submitted to the Title V Coordinator.

As new project proposals were considered, the project initiators were asked to meet with the RRDAC and to explain the proposed project. In some instances, an Ad Hoc committee met with the project director or leaders for additional discussions. The Ad Hoc committee returned to the total RRDAC with a recommendation. This procedure was designed to increase the project director's understanding of the problem situation from the perspective of local people, and to increase local residents' understandings of the project.

Proposals for which positive consensus was reached by the RRDAC were then reviewed by the Title V Coordinator and forwarded with recommendations to the SRDAC for final action. The SRDAC could recommend additional activities as well as suggest modifications in specific projects. The Area Extension Director for the pilot area and the RD Specialist were to work closely with the Title V Coordinator (Assistant Director) in facilitating the planning process for Title V, and in coordinating and facilitating the projects implemented under Title V.

#### Title V Evaluation: Focus and Components

Section 23.6(a)(b) of the Title V Regulations requires that each state evaluate its Title V rural development program. The general objective of Title V evaluation efforts is to aid decision makers and administrators at federal, state, and local levels in designing, administering, and conducting current and future rural development programs.

The federal criteria for the evaluation of Title V reveals interest in two major aspects of the Title V program. One aspect ("organizational

evaluation") is the evaluation of the organizational adequacy of the overall Title V delivery system. The second aspect of evaluation ("project evaluation") is to examine the attainment of goals or objectives of Title V field activities or projects.

Officials at the federal level have identified three elements of the overall organization or operation of the Title V program about which judgments are required:

- 1) the organizational adequacy of the delivery system (usefulness and effectiveness),
- 2) the organizational involvements in Title V activities (kind and extent), and
- 3) the nature of the relationships between organizations (utilization and transfer of resources between organizations).

Project evaluations are to be concerned with the relative success of individual projects in attainment of project goals. The need for the project evaluations grows out of a concern at the federal level with:

- 1) evaluating progress toward achieving objectives stated in the Annual Plans of Work, and 2) determining the degree to which specific needs and problems have been identified, addressed, or affected in the pilot area.

Diagram 8-2 shows the relation of the program development phases to the evaluation of Title V. Each cell represents the elements of the Title V program upon which the evaluation of that program development phase would necessarily focus. Such a diagram also is helpful in pointing out limitations to the evaluation of Title V. Since evaluation of the organization was not included in the planning and programming/specification phases and because the Title V organization is still in operation, the

	Title V Organizational Evaluation	Title V Project Evaluation
I. Planning	<ul style="list-style-type: none"> <li>(1) Federal objectives--operation of the Title V system</li> <li>.</li> <li>.</li> <li>.</li> <li>.</li> <li>(n) State Title V objectives</li> </ul>	<ul style="list-style-type: none"> <li>(1) Federal objectives--what is to be accomplished in rural development by the system</li> <li>.</li> <li>.</li> <li>.</li> <li>.</li> <li>(n) Project objectives</li> </ul>
II. Programming/ Specification	<ul style="list-style-type: none"> <li>(1) Organization of Title V delivery system to meet state objective (inputs and processes)</li> <li>.</li> <li>.</li> <li>.</li> <li>.</li> <li>(n) Title V organizational system (product/result)</li> </ul>	<ul style="list-style-type: none"> <li>(1) Organizational development of project activities and efforts to meet project objectives (inputs and processes)</li> <li>.</li> <li>.</li> <li>.</li> <li>.</li> <li>(n) Project organization and operating procedures (product/result)</li> </ul>
III. Implementation	<ul style="list-style-type: none"> <li>(1) Operation of the organizational delivery system through time (inputs and processes)</li> <li>.</li> <li>.</li> <li>.</li> <li>.</li> <li>(n) Changes in delivery system and/or its operation (product/result in terms of "effectiveness &amp; usefulness")</li> </ul>	<ul style="list-style-type: none"> <li>(1) Operation of project organization and activities through time (inputs and processes)</li> <li>.</li> <li>.</li> <li>.</li> <li>.</li> <li>(n) Impact of project activities and attainment of objectives (Title V and project--product/result)</li> </ul>

Diagram 8-2. Relation of program development phases to the evaluation of Title V

organizational evaluation currently can focus only on the last steps in the programming/specification cell and the initial steps of the implementation cell. The individual Title V projects in the state are at different stages of development with respect to the program development process. This means that while some projects have been completed, others are being planned and some are conducting their field activities. As a result, it is not possible, at this time, to evaluate each Title V project for all three cells of the program development process shown in Diagram 8-2. The ultimate intent of the evaluation, however, is to evaluate each project for all stages of the program development process.

In effect, the Iowa Title V program examined here includes five different ongoing evaluations. These deal with an assessment of the overall organizational structure and with four project evaluations (projects described in Appendix A that are marked with an asterisk).

Federal directives require that evaluative judgments about Title V be included in each state's annual Progress Report. The reporting format and procedures were set by the U.S. Department of Agriculture (USDA), and could not be altered. The annual Progress Report is prepared by the evaluator. This report is the only USDA approved channel for the dissemination of evaluation results. A Regional Center Rural Development Newsletter, however, provides another means for dissemination of evaluation materials. Some effort is being made to use other means for reporting Title V program evaluations. Four states, for example, were selected by the USDA for special evaluation attention and additional resources were provided them to assist in their evaluation efforts and to



document their results on video tape. This represents a new an innovative approach to the evaluation of large-scale rural development programs.

## CHAPTER IX. NEGOTIATION AND SPECIFICATION OF THE EVALUATION CONTRACT: ILLUSTRATIONS FROM TITLE V

### Introduction

I did not fully appreciate the importance of issues related to the negotiation of the evaluation contract early in the development of the Title V evaluations, nor, was this phase included in my initial version of the SP Model. Only as the evaluation proceeded did the significance of these issues become apparent. Because of my lack of systematic attention to these issues in the evaluation of Title V, the resulting evaluation efforts were severely impaired. The consequences for neglecting important issues, or dealing with them inadequately, will be seen in my ensuing discussion.

Ideally, this phase should be a preliminary phase to the actual conduct of an evaluation. It is a phase characterized by contact limited to key program stakeholders. The evaluator is interested, at this point, only in the broad parameters of the program, his relation to the program, and the relation of the evaluation to the program development process. Issues negotiated in this phase of the evaluation may be re-negotiated in greater detail as needs arise during other phases of the evaluation process.

### Negotiation and Specification of What Is to Be Evaluated, and Why (A)

In developing the Title V evaluation, the issues about what aspects of the program were to be evaluated, and why, were initially explored

with the evaluation sponsor (the Title V Coordinator). To facilitate determination of aspects of Title V to be evaluated, the Title V Coordinator provided both the requirements for evaluation contained in the Rural Development Act of 1972, and the instructions, regulations and suggestions for Title V evaluation prepared by the U.S. Department of Agriculture (USDA). Copies of congressional subcommittee hearings on Title V also were obtained. These documents were used to prepare a series of written documents outlining my understandings of what was to be evaluated, and why they were to be evaluated. These written documents became the basis for a series of meetings and discussions involving the Title V Coordinator, the staff sociologist in the Regional Center for Rural Development, and me. Agreement about the general aspects of the Title V program that were to be evaluated was easily reached. These aspects dealt with the organizational and project evaluations described in the previous chapter.

That agreement was easily reached on the general evaluation goals was not surprising for two reasons. First, I had only negotiated this issue with the Title V Coordinator. Later in the evaluation process, however, this initial agreement on what was to be evaluated had to be re-negotiated with other program stakeholders (especially project directors). The difficulties this presented will be discussed as other issues of the model are illustrated. Second, the Title V Coordinator in his role as Assistant Director of the Experiment Station was formally linked to the USDA. The Title V Coordinator also was directly responsible to the SRDAC, which included the Dean of the College of Agriculture and

the Dean of Extension. These individuals, in turn, were formally linked to the USDA in their official capacities outside of Title V. Given these several linkages, it was to be expected that the Title V Coordinator would heed "cues" provided by USDA (or other federal officials) with respect to what aspects of Title V should be evaluated. Since I had only reviewed federal documents and interacted with the Title V Coordinator, it was not surprising that agreement was easily reached on the general aspects of Title V to be evaluated.

An understanding of the purposes of the evaluation or the incentives for the evaluation did not come easily. Ostensibly, the evaluation of Title V was required by the federal government to provide an account of the program's impact, and to determine viable routes for future rural development programs. Federal officials were looking for immediate evidence of benefits directly attributable to the impact of the Title V program. Such evidence was considered important if Title V was to be continued or expanded. There were a number of factors, however, that did not make the probability of immediate beneficial impacts likely. These included: 1) the fact that Title V was initiated with a very low budget, 2) that its activities had been in operation a brief time (less than 24 months), 3) that its objectives or goals were broad, nebulous, and long-ranged, 4) the wide magnitude or scope of the development problems or issues to be addressed, and 5) the inability of project personnel to "control" other factors that might affect development efforts in the pilot area. All of these factors served to vitiate the possibility of developments in the project area being easily attributable to the state Title V program.

Initial negotiations with the Title V Coordinator revealed, further, his personal interests in evaluating Title V for the same reasons of importance to federal officials: 1) to determine the beneficial impacts of Title V, and 2) to determine viable routes for conducting future rural development efforts. This was not surprising given the relationship or linkage of the land-grant university to the USDA, and the position of the Title V Coordinator in the university and in the Title V system. The Coordinator, however, appeared keenly aware of the factors that limited any possibility of immediate "successes" being directly attributable to the Title V program. As a result, he was more interested in learning from the evaluation how rural development programs might be more effectively conducted, designed, or administered. Such a rationale or purpose for the Title V evaluation was understandable to me as well.

While the Title V Coordinator and I were in general agreement on the rationale or purpose for conducting the state Title V evaluation, I was not immediately aware of the dilemma that this would later present to me and to the Title V Coordinator. The Coordinator was responsible for submitting a periodic Progress Report that was to include evaluation results. The report was to be prepared by me and "screened" by the Coordinator before being submitted to the USDA through the SRDAC. The dilemma faced in reporting on Title V was two fold. First, evaluation and evidence of program activities that were "less than successful" could be very important in learning how to better conduct, develop or administer state level rural development programs. The reporting of these more marginal development efforts, however, would undoubtedly reflect poorly on

the effectiveness of the overall Title V program and even possibly jeopardize its continuation. Second, few immediate beneficial results could be expected, yet, such were needed to ensure that the overall program would be continued long enough to assess its eventual impacts. While the Coordinator was interested in learning how to better conduct, develop or administer rural development efforts in the state, he was not anxious to report evaluations or judgments of less than successful efforts that might reflect poorly on the Title V program, even if valuable information and insights were gleaned from such efforts. As a result, the "less than successful efforts" were de-emphasized, and emphasis was placed upon presenting the more successful development efforts. Given the program environment, and the vested interests of the Title V Coordinator and evaluator this result was understandable.

As the Title V evaluation progressed, it became apparent that various stakeholders in the program system had different expectations about purposes of the evaluation. Given the indirect linkage (or lack of linkage) between the USDA and the other elements of the Title V program system, it was not surprising that they viewed the evaluation differently than the Coordinator or the evaluator. University researchers (who functioned as project directors) were not used to having their work or research formally and systematically evaluated, as required in the Title V program. Their project proposals included no role specifications for them to support or contribute materials to the evaluation efforts. They tended to see the evaluation requirement and efforts as inapplicable to their activities. How this affected later phases of the evaluation

process will be discussed in subsequent chapters. Area Extension staff, who functioned as local project directors, similarly tended to view the purpose of the evaluation differently than the Coordinator and evaluator. Extension personnel are generally well acquainted with evaluations. Yet they often define such evaluation by others as a judgment of their personal effectiveness, and not the effectiveness of their programs. Members of the RRDAC did not appear unduly concerned with the evaluation since it was required. One RRDAC member, however, suggested that possibly the Title V Coordinator could function as the evaluator rather than hiring a another person, and that this would save money. I felt that this comment, made during an RRDAC meeting, reflected the view that, although evaluation was required, it did not have to be anything threatening or special to meet the legal requirements.

The preceding discussion points up the general lack of incentives or support within the Title V system for evaluation efforts. The affects of this low commitment will become more apparent as other phases of the evaluation process are discussed.

Initial negotiations with the Title V Coordinator described above were only a prelude to the development of the several evaluations of Title V to be conducted. The Evaluation Committee was later convened, at my request, to review and add to the earlier decisions arrived at by me and the Title V Coordinator. Background material on evaluation and the evaluation of Title V was prepared and provided to the committee. This material included the results of negotiations with the Title V Coordinator. In a group meeting (and later discussions with individual committee

members) I questioned committee members about aspects of the Title V program that they wanted examined. This was done to achieve sharper specification of what should be evaluated beyond the general aspects earlier identified by me and the Title V Coordinator. The Evaluation Committee provided several specific suggestions about aspects of the program they wanted examined. They were particularly interested, for example, in the role and function of the RRDAC in the conduct of Title V, and in the future role of the RRDAC. Suggestions for evaluations made by the committee, however, were about as general as what had been earlier agreed upon between me and the Title V Coordinator.

#### Prior Evaluation Activities or Planning (B)

Initial negotiations with the Title V Coordinator and an exploration of various state level program documents (progress reports, plans of work, etc.) revealed that little previous evaluation activity had occurred in the short time the Title V program had been operative. Mention was made that evaluation would occur, as required, but no specific plans or procedures for the conduct of this evaluation had been developed. The evaluator was not bound, therefore, to meet previously established procedures.

This situation initially had some appeal. It suggested that I would have an opportunity to exercise creativity and imagination in developing the evaluation. It also suggested that I would be able to make a personal contribution to the program. I did not fully anticipate, however, the great difficulty to be later experienced in motivating program stakeholders



to participate in or to facilitate, the evaluation process. While evaluators can benefit from situations that are not rigidly structured, they also may find it difficult to operate where program stakeholders are uncommitted or feel threatened by evaluation.

### Role of the Evaluator (C)

Role definitions for the evaluator were of concern in my initial negotiations with the evaluation sponsor (the Title V Coordinator). First, I wanted to negotiate a position that would give me legitimate authority (within the program system) for conducting the evaluations for which I was responsible. Second, I wanted to insure that I would not be responsible for program operations that might detract from my functioning as an evaluator. Finally, I wanted to be in a position that would allow me to provide direct and continuous feedback to the Title V Coordinator or project directors to facilitate their program operations or planning. I wanted to be able to develop and implement the best possible evaluation, and to have the evaluation results benefit the planning and conduct of the Title V program.

The Title V organizational system and the lines of authority are given in Diagram 8-1. The diagram reveals the rather "loose" lines of authority that linked many units of the system. It also shows that I successfully realized only one of my concerns with respect to my position within the system--I had no formal responsibility or connection to any program operation. I also had no authority over program stakeholders that might be used to secure their cooperation in the conduct of the

evaluation. I was primarily responsible only to the Title V Coordinator, and no one was directly responsible to me. In other words, as an evaluator, I occupied a supernumerary position within the overall Title V organizational system.

While my position within the system freed me from responsibility for the day-to-day operation of the various Title V projects, it also effectively limited my ability to conduct the evaluations for which I was responsible. Because of my position within the system, other units of the system had more control or authority than me over the actual conduct of the evaluation process, and over its ultimate impact upon the Title V program. Numerous examples illustrate this point. First, the Title V Coordinator controlled the allocation of resources for the conduct of the evaluation. Specific resources for the evaluation were allocated only upon specific requests. I was never given a block of resources to use in the conduct of the evaluation. Second, project personnel and other stakeholders not only disclaimed any responsibility for the evaluation, but they frequently sought to limit my access to project participants, activities or records. Third, I was frequently dependent upon project personnel or other stakeholders to collect or provide data for the evaluation process. Because of my peripheral position within the system, and lack of authority, project personnel were able to determine for themselves whether or not they would collect or provide data needed for the evaluation.

Because of my position in the system, I felt unable to input results of the evaluation directly into the program operation and development

process. An evaluator without responsibility for program planning or operation often can be easily excluded from these activities. In Title V, for example, I was seldom issued an "invitation" to participate in program planning or development activities, despite their central importance for later assessment efforts.

I attempted to make the best of this structural situation through several actions. Some of these were taken while I was still exploring and specifying the program system. One effort to better structure my role and to institutionalize evaluation in the Title V system was taken during a special meeting of project directors. This meeting was called by the Title V Coordinator to allow project directors to update and exchange information on project activities. It was understood that a second major purpose of the meeting dealt with the required evaluation. I was to explain the evaluation procedures, my role, and to present requests for information (e.g., monthly reports) to the project directors. All of this had been previously agreed to with the Title V Coordinator. The Coordinator provided an introduction that expressed support for my evaluation effort. Unfortunately, however, I was placed last on the program at the end of a long day. Not all project directors stayed to the end, and my time was less than originally planned. Project directors were provided a document that outlined the evaluation procedures and their specific responsibilities. Because of the requirement of a monthly report from project directors, it was anticipated that there might be considerable discussion of such a report. Instead, no questions were raised and participants seemed anxious to conclude the meeting. When monthly reports became due, however, few

were forthcoming. A round of contacts (memos, telephone, personal) with project directors was initiated to stimulate the submission of these reports. These contacts met with only limited success. Consequently, the attempt to better structure my role and to better institutionalize evaluation in the Title V system through the special meeting with project directors proved less than successful. This failure had great implications for later data collection.

## CHAPTER X. SPECIFICATION OF THE PROGRAM SYSTEM AND NEGOTIATION OF THE EVALUATION SCENARIO: ILLUSTRATIONS FROM TITLE V

### Introduction

This phase of the evaluation process is important for two reasons. First, the evaluator is introduced into the program system in a major way. This is the phase in which the evaluator must initiate and develop sustained interaction with program stakeholders. Second, the evaluator is beginning to collect or obtain information that will be used in making judgments about program efforts, or to develop the design and flow of the program evaluation process.

The specification of the program system and negotiation of the evaluation scenario is of an "investigative" nature. It is investigative in the same sense that any good murder mystery is investigative. The evaluator must begin with the "clues," or what is known about the program system, and re-construct the course of events that has led to the program as it presently exists. Once the evaluator has this background information, he uses it to structure the conduct of the evaluation process. In this phase, then, the evaluation is sharpened to fit the needs of program stakeholders.

In the evaluation of Title V, some issues applicable to this phase and to the previous phase were dealt with concurrently, if at all. This occurred, as noted earlier, because the negotiation of the evaluation contract was not initially identified as a separate phase of the evaluation process. As a result, many of the issues identified in the negotiation of

the evaluation contract were either not explicitly dealt with, or they were left to this phase of the evaluation. Many of the illustrations discussed in this chapter, therefore, blend with the illustrations previously discussed.

### Specification of the Program System (A)

In the exploration and specification of the program system, I was interested in: 1) identifying the key actors and their inter-relationships, 2) discerning the phase of development of the various Title V organizational or project efforts, 3) reviewing the current and past status of the program system, and 4) extracting the organizational, project and stakeholder goals or expectations for Title V efforts. This information was important for several reasons. First, knowing the outcomes of a program is only part of an evaluator's job. He also must learn enough about the actual development and operation of the program (rather than just what was planned) to be able to map the program's basic features (Weiss, 1972). Second, the "mapping" of the program system is important for identifying the potential constraints or limitations on the type of evaluation that can be conducted. The evaluator must, after all, operate and function within the program system.

I began my exploration and specification of the program system in early negotiations with the Title V Coordinator, as previously discussed. The Coordinator provided background documents that contained information on the development and operation of Title V. These documents included minutes of SRDAC and RRDAC meetings, project proposals, notes on special

occurrences or incidents, and annual Plans of Work and Progress Reports. The documents did not, however, provide a very complete or comprehensive specification of the total Title V program and its operation. They did provide some of the information in which I was interested. I was able to use this information to begin extensive probing into the Title V program. For example, mention was made in SRDAC or RRDAC minutes of projects for which there were no proposals. I began seeking information on the projects by questions to program stakeholders. It was learned that some of the projects mentioned had not been approved (for one reason or another), others had not submitted a formal written proposal, and some had proposals that were secured from other sources (e.g., project directors).

My background and training in history was helpful in making a historical re-construction of Title V and in discerning the circumstances that had led to the current operating procedures. The historical re-construction initially depended upon existing documentation of the Title V program, supplemented by interviews with program stakeholders to fill in the "gaps" or to provide additional explanation, understanding, or clarifications about the development and operation of the Title V organizational system or the individual Title V projects.

At this point in the specification of the program system, I expanded my efforts to include the project directors and the Title V RD Specialist. I sought to establish personal contact with them for several reasons. First, to make myself known and to establish inter-personal communication. Second, to provide them an opportunity to informally report and discuss what they were doing, how their projects were progressing, and the

rationales for their operating procedures. Finally, this contact afforded me an opportunity to probe personal viewpoints, similar to my earlier probing of the Title V Coordinator.

Many of the same points about the Title V organizational system or individual projects gleaned from the Title V Coordinator were raised by project directors. The information obtained pretty much either supplemented or verified what had already been learned. But the information also afforded me an opportunity to better establish the "credibility" of program stakeholders. This was possible because of information being available from several sources. Information not provided by one source (who had the information and responsibility for reporting it) was frequently supplied by another source. Obtaining the same information independently from two program stakeholders made it possible to better understand what had occurred, to assess the validity of the information and its source, or to obtain a different perspective on specific events. The RD Specialist, for example, might report on a RRDAC meeting at which a project director described his project. If the project director did not provide me information about this meeting, I would know what to ask the project director because of the RD Specialist's report. This not only made it more likely that I would appreciate what was happening but made it possible for me to pursue specific information needs.

At the same time I was beginning to interact with project directors, I also attended several Title V meetings (e.g., SRDAC, RRDAC, special project directors meeting, planning meetings). This attendance afforded



me opportunity to explain the evaluation process as it was emerging, and to obtain first-hand information on the operation and planning of the Title V program.

Better specification of the program system not only was important in my developing the evaluation, but also proved important for some project directors--especially with respect to clarification of their individual project goals and expectations. In one case, a project director was unaware of an objective specified for his project in the state's annual Plan of Work and the Progress Report. Another project shifted emphasis partly as a result of discussions between program stakeholders and me, to a previously neglected (and important) objective that had been forgotten during the conduct of early project activities.

My activities toward a better specification of the program system also stimulated some project directors to begin comparing project objectives with the actual operation and conduct of project activities. It became painfully evident to some, and to me, that this link was often tenuous. Relationships between what was intended to occur and what actually did occur was often unclear. One project director prepared several outlines on what his project had accomplished before it was possible for me to ascertain (in a probing interview) what had really happened as compared to what was supposed to happen. Clarification (meaning) of goals or expectations for project activities was difficult at this phase of the evaluation process, although no attempt was yet being made to operationalize project goals into objective measures for data collection.

Negotiation and Specification of the Guidelines and  
Procedures for Conduct of the Evaluation (B)

As the exploration and specification of the program system progressed, it was natural that I expand my inquiry into the negotiation of the evaluation scenario. The negotiation of this scenario involved specification of the guidelines and procedures necessary for conducting an evaluation. It was aimed at identifying: 1) the criteria to be used in making evaluative judgments about the program, 2) the types of evidence necessary and acceptable (relevant) for the program evaluation (including sources), and 3) the procedures to be used in making evaluative judgments about the program.

In evaluations that focus upon goal attainment, criteria are linked with program objectives, and they are often confused with one another. Hypotheses testing and data comparison can provide evidence of the degree to which objectives have been attained (or not attained), but this activity does not contain any judgments about the "success" of the program, or the value or worth of what was attained. Yet, these judgments are critical to making decisions about the future operation of the programs. Criteria are necessary to make such judgments of value or worth. Where evaluation is concerned with attainment of objectives, these objectives commonly are statements of the results desired or expected to follow from the program operation. Criteria, however, are the standards (values) used to make evaluative judgments about the results that actually do occur when the evidence of results are compared to what was desired or expected (objectives).

Some criteria to be used in making judgments about Title V were provided by the federal government. The criteria suggested for the "organizational evaluation" (i.e., its "effectiveness" and "usefulness") were left undefined. This absence necessitated that state-level Title V stakeholders arrive at some understanding as to criteria so as to be able to judge the relative success of the Title V organization upon receipt of data. Although the criteria to be used in project evaluations was specified as the attainment of project objectives, it was necessary to secure some understanding as to what constituted this attainment. Explicating the criteria proved to be the most difficult undertaking of the evaluation process.

An attempt was made to negotiate and explicate the criteria for the organizational evaluation with the Title V Coordinator. Although I provided samples and suggestions for criteria, he failed to specify any "official" criteria that might be used in making judgments about the Title V organization. I also approached the Evaluation Committee, which had been provided background material on evaluation in general, and on the Title V evaluation in particular. This material was designed to sensitize them to the need for specifying criteria for the organizational evaluation. A meeting was held to discuss the setting of criteria for the organizational evaluation, but Evaluation Committee members were either reluctant or unable to specify criteria (standards or values) that might be used in making judgments about the Title V organization. Rather, they took the view that I, as an "insider," was subject to their control, and

thus they appeared agreeable to letting me use my own "informed" criteria to make judgments about the program. One committee member suggested that the criteria being used by the stakeholders were basically the same, even though it could not be articulated. It appeared from the discussion, however, that all were aware that the same information (data) could have different meanings for different program stakeholders.

The reluctance or inability of program stakeholders to identify criteria that might be used in making judgments about the Title V organization may have resulted from several factors. First, some stakeholders (e.g., the Title V Coordinator) did not want to unduly influence the evaluation by "imposing" their criteria. They appeared concerned that if only their criteria were used, this might create difficulties with other stakeholders. Second, program stakeholders may have been reluctant to express criteria because of the potential for conflict with other program stakeholders who might view the criteria as irrelevant. Third, program stakeholders may not have seriously reflected on criteria, this being foreign to their previous experiences. Fourth, stakeholders may not have understood the role of criteria in the evaluation process, or appreciated what I was about. Finally, the specification of criteria for the organizational evaluation may have been difficult because of the lack of an explicitly stated theory underlying the Title V program and its organization. In other words, why should attainment of rural development objectives stated in Title V be possible with the specific Title V organizational system that was implemented? The difficulties

experienced in identifying or articulating criteria are not unique to Title V but are usual occurrences in evaluation efforts.

With respect to the individual project evaluations, I was primarily concerned with developing criteria related to specific project objectives, and in determining the types of evidence (data) and sources of data relevant for each project. I also was interested in sensitizing project directors to the needs of the evaluation process and to their respective roles. This was deemed important because of initial decisions made by the Title V Coordinator in negotiations with me about the types of data to be collected, the procedures for making judgments (by me and the Evaluation Committee), and the focus on the criterion of attainment of project objectives. It had been decided, for example, that both "objective" and "subjective" data might appropriately be collected from all stakeholders or participants in the Title V program system by such techniques as:

- 1) questionnaires and formal interviews,
- 2) monitoring procedures whereby Title V personnel provided information to the evaluator on a periodic basis, and
- 3) the evaluator's observations of ongoing Title V activities.

To facilitate explication of issues critical for conducting the project evaluations, I prepared a draft evaluation proposal for each project. These documents were based on what I had learned about the projects to that point from all sources. The draft proposals were provided to each project director as a tentative working proposal only. The documents not only served to facilitate discussion on the conduct of the project evaluation, but they also presented project directors a

"picture" of their projects as seen by me. The draft proposal for one project is given in Appendix B. Data collection instruments contained in this proposal were those initially developed for discussion purposes and were not those eventually used. Copies of these project evaluation proposals were always provided to the evaluation sponsor (the Title V Coordinator) for his information and comment. It was hoped that active involvement of both project directors and the Title V Coordinator in the evaluation planning would stimulate mutual interest and support for the forthcoming data collection. It was continually stressed that their involvement was important to securing a meaningful and useful project evaluation.

The draft project evaluation proposals provided some common ground for opening discussion between project directors and me (in a series of meetings with each individual project directors) over details for the project evaluations. The proposals became the basis for negotiating the criteria for specific project objectives, and the evidence to be collected. This process served in several cases to force project directors to critically examine their project operation, its objectives, and their own expectations for the results of their project. These draft project evaluation proposals also were of major importance in later development of data collection efforts.

The procedure for making judgments about the Title V program was developed and agreed upon in negotiations between me and the Title V Coordinator. Judgments were to be accomplished through procedures similar to the "group process" approach suggested by Logsdon (1975). Evaluations

of Title V activities (organizational and project) were to be reported in the periodic Progress Report required to the USDA. I am to prepare this report and include a description, and goal-attainment evidence, of Title V activities, and report any evaluative judgments warranted by the data. The Progress Report will be provided to project directors (for their respective projects) and to the Evaluation Committee. The Evaluation Committee is to review the report and to meet with me to review the data and my judgments. This provides me an opportunity to both validate and legitimize the evaluation with those who will be using it. It also serves as a means for disseminating evaluation results, and for providing the major program stakeholders with insights into the reactions of other stakeholders. This procedure was felt to enhance the probability that the evaluation would become the basis of recommendations and meaningful changes for the conduct of current and future rural development programs similar to Title V. The procedure also fits the continuous nature of the Title V program and the evaluation process.

Although the procedures for making judgments about Title V have been developed, they remain untried. This is because no progress reports have been required in the short period since the procedure for making judgments was negotiated. Early in my involvement with Title V, I did prepare an interim Progress Report. This report, however, was not channelled through the Evaluation Committee since the committee had not been formed.

## CHAPTER XI. EVIDENCE COLLECTION:

## ILLUSTRATIONS FROM TITLE V

## Introduction

The intent in this chapter is not to present specific procedures for data collection in evaluation research. Rather, the types of data collection problems that developed during evaluation of the Title V program are described. Emphasis is placed on problems encountered in specifying the data to be collected, and in implementing data collection procedures.

I experienced numerous difficulties in obtaining data bearing on Title V activities. Most of these difficulties resulted from: 1) my supernumerary position in the system, 2) the general lack of incentives and support for evaluation within the Title V system, and 3) a general misunderstanding and mistrust of the evaluation process by many program stakeholders. My position in the Title V system left me almost totally dependent upon project directors or other stakeholders to voluntarily and conscientiously implement needed data collection procedures. As a result, the collected data frequently was incomplete, unsystematic, inaccurate, and of questionable utility.

## Specification of Data to be Collected (A)

The draft project evaluation proposals (see example of a proposal in Appendix B) were designed to be the basis of early discussion with project directors to determine the specific data to be collected for each project evaluation. Because of previous difficulties in negotiating or



explicating project goals, criteria, and evidence with project directors, the identification of specific data to be collected proved to be a more difficult process than I had hoped. The project proposals were designed to expedite and better focus this process. They each contained a statement of project objectives and suggestions for specific data to be collected and used in the evaluation of the designated project. It was hoped that each proposal would elicit questions or discussion from the pertinent project director that would produce a sharper specification of project goals, the operationalization of these goals, and specific data indicative of attainment of these goals. Specific data to be collected for each project was negotiated only with project personnel. The Title V Coordinator and the staff sociologist of the Regional Center, however, were provided copies of all project proposals and draft data collection instruments in order to obtain feedback from them.

The above process also was intended to encourage each project director to critically examine his project's operation, its objectives, and his expectations for project results. The discussions also were seen as involving project directors directly in the data collection and making them feel a part of the evaluation process, and not just the object of an outside examination. I continually encouraged project directors to identify information needs about their project, even if this information might not be of immediate interest or utility to me. I also stressed the cooperative nature of the evaluation process, and my willingness to provide data feedback to project directors. Despite these efforts, most project directors and other program stakeholders remained uninterested in

facilitating the data collection process. This is not surprising, given that they often felt no responsibility for evaluation, saw no purpose or need for an evaluation, or felt threatened by an evaluation.

In negotiating with project directors the data that should be collected and used in the evaluation of their projects, antagonism and hostility were sometimes encountered. Prior to this stage most project directors had been open to discussing their projects and activities. This openness existed, however, only when I was seeking general information on what the several projects were about. When discussion shifted to specific questions about attainment of project goals or activities, I frequently met open resistance or hostility.

Specific questions to project directors on how objectives might be operationalized, relationships between the project operations and project objectives, and what were seen as indicators (data) of project success, were particularly resented. While project directors generally remained willing to provide personal evaluations of their projects, few wanted to delve into other questions or issues so that I might make independent judgments. Although willing to express opinions about their individual projects, most could not (or would not) specify what data they felt supported their evaluations. Some felt that their word should be accepted and that the evaluator not only had no need to collect additional evaluation data, but no right. At one point, a project director refused to provide me a list of names and addresses of project participants. The intent was to keep me from collecting information from them that might verify or dispute the project director's judgments.

Because of these difficulties, I was largely left on my own to decide what data should be collected and the criteria to be used in its evaluation. My independent decisions ultimately led some program stakeholders to see some of the collected data as irrelevant. The importance of my working closely with program stakeholders in explicating program goals and criteria was, thus, considered critical for developing a meaningful evaluation. This task, however, proved difficult. The greater the inability or unwillingness of program stakeholders to facilitate the explication of program goals and criteria, the less likely the resulting evaluation would be meaningful or useful to them.

Program stakeholders at all levels were more interested in evaluation activities that focused on the overall organizational system than on activities of individual projects. An organizational thrust clearly would have been less threatening to project leaders and demanded less of their time. Determination of the specific data to be collected for the organizational evaluation, thus, proved a less difficult undertaking than for the evaluation of individual projects.

Early negotiations with the Title V Coordinator and the Evaluation Committee produced a number of specific suggestions for data to be collected from the various positions within the Title V system for the organizational evaluation. Drawing upon these negotiations, and upon various documents pertaining to the evaluation of Title V, I prepared a draft data collection instrument (see Appendix C). This instrument was designed to obtain information on the organization and operation of Title V from members of the Regional Rural Development Advisory Council (RRDAC).

The instrument was further refined in several meetings with the Title V Coordinator and staff sociologist of the Regional Center. The specification of data to be collected with this instrument was facilitated more by inputs from program stakeholders than were the instruments to be used for project evaluations.

### Specification and Implementation of Data Collection

#### Techniques or Procedures (B)

The specification of appropriate data collection techniques and instruments usually was negotiated when determining the specific data to be collected. The project evaluation proposals (see sample in Appendix B) included data collection procedures and instruments suggested by me for each project. The data collection instruments and/or techniques initially suggested were not necessarily those finally used. This was because I was still attempting to explicate with the project director the specific data to be collected, and was using the draft project evaluation proposals to do so. The data collection procedures and types of data collection instruments also were open to negotiation for two major reasons. First, I did not want to unduly disrupt the project operation or its activities. Second, I was dependent upon the goodwill and cooperation of the project director to assist in data collection and/or to facilitate access to project participants. This was not without its difficulties, however. Mention already has been made of the project director who initially refused to identify project participants. This same project director strongly resisted the use of any data collection techniques or

procedures other than a five minute doorstep interview of project participants at the end of the project by project personnel. The project director felt that project participants would not respond to any other type of data collection procedures. Such lack of understanding among program or project stakeholders of social science data collection techniques was a major hurdle to be overcome in the specification and implementation of data collection procedures for project evaluations. My experiences suggest that evaluators may need to invest considerable effort and energy in instilling an understanding of data collection techniques among program stakeholders.

Mention has been made of my supernumerary position within the Title V system. This situation, along with the need to have active participation from project directors in data collection (who were generally unconcerned or uninterested in facilitating the evaluation) severely hampered data collection efforts. Project directors, for example, were to provide periodic (monthly) reports to me on their projects' past and planned activities. Following a special meeting of Title V project directors, I attempted to reinforce the need for project directors to collect and provide certain information on a periodic basis. Individual meetings were held with most project directors to explain not only the information that should be provided, but also to show how they could benefit from the evaluation. When little or no information was forthcoming, another round of contacts (personal, letter, telephone) was initiated. These contacts brought only limited success and cooperation throughout the evaluation

process. Project directors provided information only when they felt inclined, and the information provided was often incomplete.

Although willing to informally ask project directors to assist me in my evaluation efforts, the Title V Coordinator was reluctant to use his authority to insure the cooperation of project directors. This stance was consistent with the academic or Experiment Station tradition of "non-interference" in research or related activities once they are approved. Breaking of this tradition for Title V would have been a major departure from past policy.

Project directors, or persons working with them, also frequently failed to inform me of major activities so that I could observe or collect information from participants. Consequently, I was never quite sure just what was going on with respect to many of the projects. This particularly affected the data collection process. In two cases, for example, project personnel failed to notify me of planned activities until the day before they were to begin. The administration of questionnaires at these activities had been previously discussed and agreed to. Sufficient time, however, had not elapsed to allow for preparation of questionnaires. Consequently, I was forced to use hastily constructed instruments, or not to collect data from program participants. Much of the data obtained through the use of these hastily constructed and untested questionnaires proved unproductive. Responses frequently reflected the haste with which the questions were written, and the fact that the questions didn't always correspond to activity goals. In other words, because of the lack of communication with project personnel (for whatever reason), I often

had only "one shot" at designing a questionnaire to collect the data I needed. Such efforts, unfortunately, were not always successful. These hasty attempts to collect data also were impaired when project directors either did not have their activities outlined in detail, or else changed their project operations without informing me. Whatever the reasons for the failure of these data collection efforts, they undoubtedly affected the "credibility" or professional standing of the evaluator.

Efforts on the part of project directors or personnel to collect data often were conducted in less than a conscientious manner. Some of this undoubtedly resulted from a lack of understanding on their part of why certain data was being collected. The lack of support or incentives for evaluation within the program system along with my supernumerary position were contributing factors. In one project, a series of meetings were to be conducted with community residents by county or area Extension personnel. The Title V RD Specialist and the area Extension Resource Development Specialist had discussed and agreed to administer a brief questionnaire to participants. Many of the questions included in the questionnaire were of direct interest to Extension but not to me. The Title V RD Specialist was nominally responsible for assisting the other Extension personnel in conducting the community meetings. It was agreed, therefore, that he was responsible to insure that they understood the purpose of the questionnaire, and that they administered it to all who attended the community meetings. The effort made by Extension personnel to administer the questionnaires, however, varied greatly. As a result, less than 50 percent of those attending the meetings completed a

questionnaire. The data collected, thus, did not represent the total population, or even a random sample. In one case, an Extension worker revised the questionnaire and substituted his own version just prior to the meeting. This version contained only questions of direct interest to Extension, and deleted questions needed by me as part of the larger evaluation effort.

Not all Title V evaluation data collection efforts were designed to take place in conjunction with project activities. Some were to occur at later points in time. When this was the case, project directors were held responsible for maintaining accurate lists of project participants for later followup. It was not uncommon for me to find, however, that these lists were incomplete, inaccurate, or illegible. In one case, a project director was to maintain a list of agency personnel with whom he had worked during the project. When persons identified by this project director were later contacted by me, the majority had no recollection of having had contact with either the project or its director.

Data collection efforts pertaining to the several Title V project evaluations were not particularly successful. This is not surprising given:

- 1) the supernumerary position of the evaluator,
- 2) the dependence of the evaluator upon other program stakeholders to collect or report data,
- 3) the lack of incentives for facilitating the evaluation among program stakeholders (for a variety of reasons),
- 4) the lack of specific resources allocated to the evaluator for data collection efforts (this necessarily limited the types of data collection efforts and procedures that could be attempted), and



- 5) the inability or unwillingness of some program stakeholders to work with the evaluator in explicating program goals, and criteria.

The described difficulties are not uniquely characteristic of Title V, but point up the types of problems evaluators may encounter in collecting data on any program evaluation. Some consequences of ignoring the evaluation issues specified in the SP Model are apparent in the evaluation of Title V. The evaluator needs to explicitly address each of these issues in developing a program evaluation.

## CHAPTER XII. EVALUATIVE JUDGMENTS AND EVALUATION

## UTILIZATION: THE EVALUATION PROCESS IN TITLE V

## Introduction

Little by way of illustration from Title V can be provided for this phase of the evaluation process since the data collection is currently underway. This chapter, therefore, is first focused briefly upon issues pertinent to this fourth phase of the Title V evaluation process, that of making and applying evaluative judgments. Second, some recommendations for strengthening the Title V evaluation process are made. These recommendations are based on the issues previously highlighted and discussed. They also are, admittedly, my perspectives and not necessarily those of other Title V program stakeholders. These recommendations are designed to show how some of the difficulties encountered in the Title V evaluation might be overcome or avoided.

## Evaluative Judgments and Evaluation Utilization

The primary approach to making and reporting evaluative judgments about the Title V program (through the Evaluation Committee and the periodic Progress Report) has been discussed. At this date, however, no progress reports have been issued since formation of the Evaluation Committee. Efforts have been made, however, to provide the Title V Coordinator with direct feedback on the Title V program throughout the evaluation process. This secondary procedure, however, has met with only limited success at best. A means for the dissemination of data and evaluations during operation of programs or projects is desirable if

changes are to be made in the conduct of ongoing activities to enhance their impact. Although I have attempted to provide evaluatory feedback directly to project directors and to the Title V Coordinator, the lack of the institutionalization of evaluation in the Title V system, and my superfluous position in this system, have greatly hampered these efforts. This problem reinforces the need of adequately, and early, developing the role of the evaluator and the organizational supports (or incentives) for evaluation. I was seldom in a position (authoritatively or physically), for example, to know of many planning efforts related to the future conduct of Title V or individual projects until the planning was completed. I was unable, therefore, to successfully input evaluation results into the planning process. There were no requirements or incentives within the Title V system to secure my involvement in the development or conduct of specific activities.

Despite major difficulties in giving feedback from the evaluation process, the evaluation has had some impact upon the conduct of Title V activities. Mention already has been made, for example, of changes that occurred in the operation of some project activities because of interaction between the evaluator and project directors as a part of the evaluation process. Second, certain program stakeholders have become better acquainted with the needs of the evaluation process, and what evaluation can or cannot do for them. The RD Specialist, for example, has recently initiated contact with me to discuss developing evaluation procedures for an activity that currently is being planned and which I had not intended to evaluate. Finally, I have been able to convey directly to the

Title V Coordinator evidence on project successes or failures as they occurred. This communication has not always brought a halt to unsuccessful project activities (nor had I intended they should). It was, however, to aid the Title V Coordinator in his planning for future activities of Title V and in making decisions about projects to be discontinued, modified or left unchanged.

At this phase in Title V, it is impossible to predict what ultimate use will be made of the evaluation, or what impact it will have on the conduct of the rural development program. Illustrations provided here from the Title V evaluation suggest that there are many factors that are affecting the potential utility of this evaluation. This need not remain the case. Given the relative long-term nature of Title V, the continuous nature of the evaluation process, and the identification of issues salient in any evaluation (the SP Model), it is possible for critical elements of the Title V evaluation to be re-negotiated and for the evaluation thus to be strengthened.

#### Recommendations for Strengthening the Title V Evaluation Process:

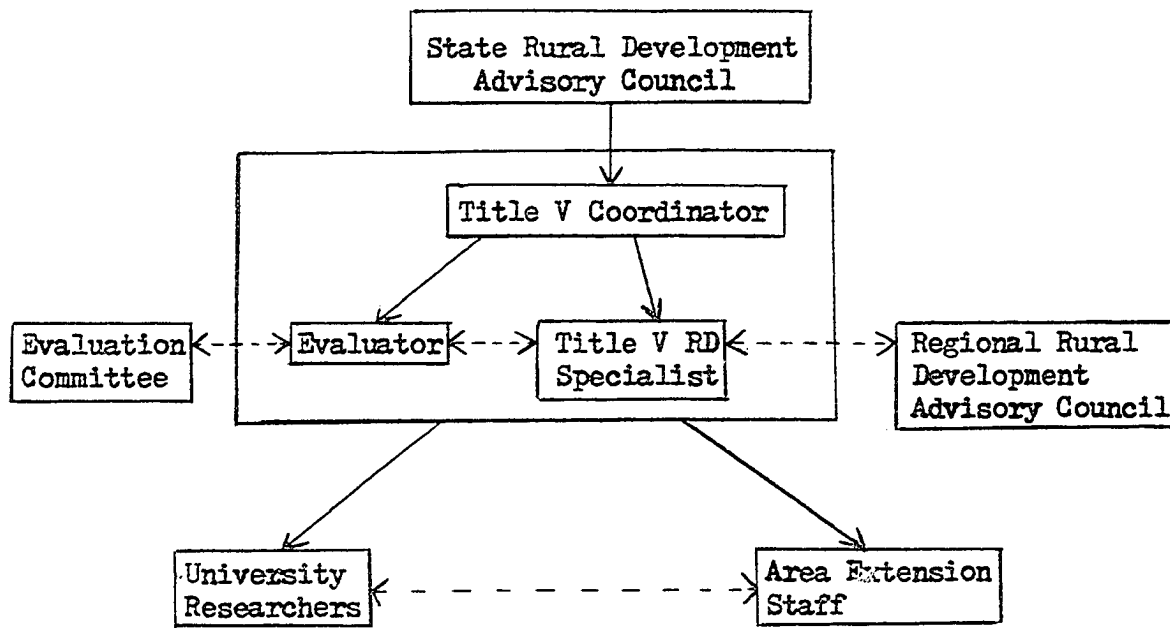
##### Retrospective Reflections of an Evaluator

Illustrations discussed from the evaluation of Title V reflect a number of issues related to the evaluation process that were not adequately handled. Their inadequate handling is apparent in that they impeded my ability to proceed with the evaluation process. The following suggestions for the evaluation of Title V reflect my experiences in Title V and my progressively enhanced understanding of the importance of evaluation issues in the SP Model.

One of the first issues in the SP Model bears on the negotiation and specification of the purposes of the evaluation (ends to be served and incentives supporting the evaluation). It has been noted that there were few incentives supporting the evaluation of Title V, and that different program stakeholders had different understandings of the purposes of the evaluation (ends to be served). This situation probably is not atypical of many programs that an evaluator may be called upon to evaluate. In the evaluation of Title V, however, I initially had assumed that because the evaluation was required it would be fully supported. To strengthen support for evaluation efforts, therefore, it is suggested that the Title V Coordinator require all project proposals to include (at the time of submission) explicit consideration of how activities will be evaluated. This material could be developed in conjunction with the Title V evaluator. This would help in several ways. First, it would mean that proposals would have to specify how project activities might be evaluated. Questioning and probing by the evaluator into issues related to the first two phases of the evaluation process would undoubtedly stimulate the development of more precise project proposals. Such would serve, of course, to facilitate later evaluation efforts. Second, this initial required interaction between potential project directors and the evaluator would reinforce the importance of the evaluation as a part of the project functioning and not a separate entity for which the project director has no responsibilities. Third, some of the project personnels' responsibilities for facilitating the evaluation process could be spelled out in the proposals before approval. Once approved, the project director could be held accountable for these responsibilities.

The role of the evaluator is an issue that has had an impact upon almost all aspects of the Title V evaluation process. Clearly, there is a need to re-negotiate the role of the evaluator with respect to the conduct or operation of the Title V program and the conduct of the evaluation process. What the evaluator needs is some legitimate authority within the program system, and the means to input feedback from the evaluation process into the conduct or operation of the Title V program. A number of changes within the Title V organizational system might facilitate these needs. The changes suggested for the Title V organizational system are shown in Diagram 12-1.

The role structure given in Diagram 12-1 makes no changes in the roles of the SRDAC, the Evaluation Committee or the RRDAC. While the role of university researchers and Extension staff would not change, more control would be exercised over their activities by the Title V "administrative staff" than previously had been the case, and their accountability accordingly would be increased. The major changes are in the role of the Title V Coordinator, the evaluator, and the Title V RD Specialist. Together they would form the Title V administrative staff and would be co-located. The Title V Coordinator has numerous other responsibilities within the university that claim more of his attention than the Title V program. The Title V Coordinator, however, is the only one with any authority over project directors (university researchers or Extension staff). In order to facilitate not only the evaluation of Title V, but also the administration or conduct of rural development activities, the Title V Coordinator needs to share his Title V administrative or



—————> Direction of authority

<-----> Coordinating or advisory relationship only

Diagram 12-1. Suggested Title V organizational or program system structure

operational authority more directly with the evaluator and the RD Specialist. In other words, the evaluator and the RD Specialist should function as "executive or staff assistants" to the Title V Coordinator with respect to the conduct of Title V. Their involvement is strictly with Title V, which is not true for the Title V Coordinator. The evaluator would still be primarily responsible for the conduct of the evaluation, and providing the coordinating link to the Evaluation Committee. The evaluator as an

executive or staff assistant, however, also would be in a position to build evaluation requirements into program or project operations from the beginning, and to input feedback from the evaluation process directly into the conduct of Title V rural development efforts. The RD Specialist would still provide the coordinating link to the RRDAC, but would be in a more authoritative position (as an executive or staff assistant) to match research efforts to extension efforts, or project efforts to identified needs or problem areas.

The preceding suggestions for enhancing the Title V evaluation would not necessarily solve all of the difficulties encountered. They would, however, enhance the evaluator's ability to deal with many issues involved in the evaluation process. The data collection, for example, would be greatly facilitated because of the evaluator's position and authority within the Title V organizational system. The use of the evaluation also would likely be maximized. These suggestions do not mean that the evaluator would be responsible for the success or failure of Title V or its conduct. It does mean, however, that he would at least be in a position to conduct the evaluation and to provide inputs into the decision-making process related to the conduct of rural development activities. In other words, the evaluator's recommendations for the conduct of rural development activities may be ignored, but they would have to be listened to, and the evaluator would be able to maintain control over the development and conduct of the evaluation process.



The above benefits would result because the evaluator would be more strongly integrated into the Title V organization than previously had been the case. An "internal" evaluator is in an excellent position to identify decision points, to distinguish significant issues from those that are most often verbalized, and to spot concealed sources of strengths or weaknesses in a program (Twain, 1975). In other words, the evaluator would be in a position to have a more detailed knowledge of the program and its organization than an external evaluator (Caro, 1969). As a result, the evaluator would be in a better position to translate findings into suggestions for program modifications, to use them for future research, and to conduct continuing evaluation or research efforts (Caro, 1969; Twain, 1975). These are essentially the major activities that an evaluator is interested in facilitating when conducting a "formative" evaluation.

Another alternative for re-structuring the Title V evaluation process would be to have an outside or "external" evaluator (one who is not part of the Title V program system or organization) conduct the evaluation. If the emphasis remained upon conducting a formative evaluation, however, an external evaluator would probably suffer from many of the same difficulties that I encountered because of my supernumerary position within the Title V program system. He would find himself cut off from valuable sources of information (Twain, 1975) and knowledge (Leinhardt, 1975). The external evaluator also would have to exert greater effort to interact with other program stakeholders (Twain, 1975). These disadvantages might make it difficult for an external evaluator to meet the needs of a formative Title V

evaluation. On the other hand, there are several advantages that the external evaluator would have in facilitating a "summative" Title V evaluation or a very limited one-time formative evaluation. First, the external evaluator (as opposed to the internal evaluator) is better able to resist pressures from the program system toward subjectivity, and is more likely to be able to conduct studies that question policies or operating procedures (Caro, 1969). Where there is extensive distrust within a program system or organization, the external evaluator also is likely to obtain more valid information from individual organizational members than an internal evaluator (Caro, 1969). It is possible, therefore, that an external evaluator may prove more effective for a one-shot study (Caro, 1969).

Should the Title V evaluation emphasis shift to a limited formative evaluation or to a series of one-time summative evaluations of various individual Title V activities or projects, use of external evaluators would probably prove appropriate. I was an internal evaluator, however, and visualized the Title V evaluation as a formative evaluation designed to facilitate changes in the ongoing program. While the purpose of the evaluation was seen as both formative and summative by other program stakeholders, the emphasis (as I perceived it) was to be distinctively formative. As a result, I proceeded to shape the evaluation process accordingly. The model presented in Part One and illustrated in Part Two reflects this orientation.

### Conclusion

The preceding discussion suggest that many of the difficulties encountered in the evaluation of Title V may have resulted from the lack of a model of the evaluation process. In other words, there was no clear conceptualization of the evaluation process and its related issues that could be used by program stakeholders (including the evaluator) in developing and conducting the evaluation. Now that such a model for the evaluation process has been articulated (the SP Model), it may be that the Title V evaluation process could be effectively re-negotiated or re-structured to better facilitate the evaluation process.

## CHAPTER XIII. CONCLUSIONS

The System-Process (SP) Model provides a framework and methodology that links the evaluation process to decision making about action programs, the values of program stakeholders, and decisions about programs. It articulates the key elements or issues that program evaluators often must grapple with in the development and conduct of program evaluations. It also stresses the logical interrelationships that exist between issues involved in the evaluation process. The SP Model may be viewed as a strategy of search that provides a logical and interconnected sequencing for the phases of the evaluation process.

The SP Model has a number of implications for both the evaluator and program stakeholders. First, because of the need to interrelate and use both normative and empirical theory in the evaluation process, there must be intense interaction between the evaluator and other program stakeholders. The evaluation process cannot be conceptualized and developed independently of program personnel. This does not necessarily mean that the evaluation will be totally controlled and structured by program stakeholders or the evaluation sponsor. It does place considerable importance, however, upon the role that the evaluator plays, and the integration and acceptance of this role within the program system. Evaluation is not without its conflicts, nor are the conflicts always resolved by achievement of some kind of consensus on the issues involved in making evaluations. Evaluation is a dynamic social process that is no different from other social activities or undertakings. Consensus is not necessary for the conduct of

a useable or viable evaluation, but understanding and sensitivity to differing perspectives is essential. Second, the evaluator is required to play an active and dynamic role in developing the evaluation and in raising the awareness of stakeholders to the issues involved. The evaluator must, as a result, closely examine his own values and ethics. Third, the evaluation process is not bound to any particular means for collecting data or to any set role for the evaluator. Methodological techniques and roles played by the evaluator are structured by the evaluation process, and not vice versa. The strict and consistent conceptualization of evaluation as simply another example of basic research would serve to retard the development of evaluation theory and methodology, both of which need considerable development at this time.

Much of the discussion of the SP Model, and its illustrations, have focused upon system (i.e., structural) issues rather than the "personalities" of the individuals involved. This may reflect the nature of the Title V evaluation more than anything else. "Personality" related issues did not become apparent (were not problems) in the Title V evaluation from which the SP Model was developed. The role of "personality" factors in the evaluation process has not explored. There has been some tendency in the evaluation literature, however, to characterize certain types of program stakeholders (e.g. administrators, evaluators, participants, etc.) as having particular traits or attributes that may affect the development of the evaluation process.

The SP Model presented in Part One is not a final solution to the problem of conceptualizing and conducting program evaluations. It is,

however, a necessary first step in conceptualizing the larger evaluation process, and in discerning its related issues in a framework that can be used by an evaluator for developing logical and useful program evaluations. Much still remains to be accomplished. First, the model needs to be systematically applied to a variety of program evaluations. This is necessary to determine if it needs further revision or elaboration. Second, there is a need to develop and/or test techniques for addressing the issues identified in the model. Data collection techniques, for example, have received considerable attention. Techniques for explicating values and criteria for evaluations have not been comparably attended to nor have techniques for the dissemination or utilization of evaluation results been adequately developed. With the framework presented here, that explicates some of the key issues and assumptions involved in the evaluation process, more needs to be done in developing techniques to deal with these issues. Third, more research efforts need to be directed at determining the affect various external environmental factors may have upon the development or conduct of the program evaluation process.

Part Two of the dissertation presents illustrations from a field evaluation that reflect my perceptions of the evaluation issues identified in the SP Model. More reports from evaluators and program stakeholders of the evaluation process are needed rather than just evaluation results. Results are important for program stakeholders and for the conduct of programs. But such material often fails to provide insights into the evaluation process, which is needed if evaluation theory or methodology are to be improved. Reports of the evaluation process would aid in further

identifying and specifying critical issues in conducting program evaluations. They also could provide information on the adequacy of techniques used in responding to these issues.

Much work in evaluation has been undertaken, and the demand for social action programs undoubtedly will rapidly increase in the future. If the social sciences are to make meaningful contributions to efforts to make changes in our social or physical environment, it is time for them to shoulder more responsibility for social action planning and the evaluation of such efforts. The vast and diffuse knowledge of the evaluation process needs to be coalesced into a larger framework for understanding the evaluation process and its related issues. The SP Model is a first effort to explicate issues for evaluation from the extant literature and from my evaluation experiences.

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APPENDIX A: TITLE V PROJECTS IN THE  
STUDIED PROGRAM

Rural Industrializational Study - The objectives of this research project are: (1) to determine the components of industrial activity in the region and the changes which have occurred, (2) to conduct feasibility studies on potential processing industries for selected agricultural products, and (3) to determine the types of industry which have left the area and the types which have located in the area in recent years.

Land Use Research - The objectives of this research project are: (1) to articulate and explain the six-county area's present land use, land use goals, and projected land use problems based on current trends, and (2) to fashion land use alternatives and associated probable consequences of each alternative. The study is to provide data for future land use policy education in the area, and to be of assistance to the Regional Planning Commission.

Economic Base Study - This study is to provide data regarding the economic well-being of the pilot area. It will use secondary data to provide basic economic information about the area which can be used in future educational programs with area residents, planners, and leaders so as to enhance their planning for the future. The economic information will be published in sections as it becomes available.

Population Base Study - This research was intended to fulfill the same general purposes as the economic base study but with an emphasis on the

analysis of population. Through the collection and analysis of secondary data the basic population characteristics and trends were charted for the pilot area. These were published, and over 27,000 copies of this publication were initially distributed to elected officials, local leaders, public and private planning agencies, and various organizations involved in human and natural resource development programs.

Charting Social Well-Being Project - This newly initiated project is aimed at identifying and providing in useable form indicators of social well-being relevant for decision-makers. This project, therefore, will work closely with area decision-makers. Once indicators of social well-being are organized in a useable form, area leaders will be provided assistance in how the assembled data and analysis can be used to identify relevant problems and/or as a basis for obtaining federal, state, local or private funds for human resource development programs.

\*Community Quality of Life Study - Research efforts of this project were directed at: (1) determining residents' perceptions of the "good" community and their own community, and (2) providing information to help organizations, agencies and citizens establish priorities for development efforts. The survey of residents' perceptions of the "good" community and their own community was conducted between January and June of 1975. Results of this survey were reported in two publications. Copies of these publications were distributed to community libraries, mayors and city councils, and to key area organizations and agencies. Summaries for individual communities were mailed to all individual respondents requesting information for their community (over 2,000 at this time). Meetings with



community groups are to be scheduled in all of the 27 communities studied to present and explain the findings. Further community activities will be developed in response to each individual community's needs and wishes.

\*Simple Home Repairs - The objectives of this project are: (1) to develop competence in making simple home repairs, (2) to promote interest in improving current housing conditions, (3) to develop an appreciation of the importance of preventative maintenance, and (4) to stimulate continued interest in maintaining and improving the home environment. The primary clientele are to be low income and elderly households in the designated counties. Major delivery of educational services is to be through small groups and one-to-one instruction (primarily individual home visits). The project also is to collaborate in and be supportive of the development and implementation of a Repairman Aide program for the area with those agencies or organizations interested in providing home repair services to clients unable to make repairs for themselves.

\*Manpower Education Services - This project involves efforts: (1) to increase the understanding of job opportunities in the Title V area (among unemployed, employers, and agencies servicing employment needs of both groups), and (2) to improve the delivery of rural manpower services in the Title V area. The intent is to provide services related to or stimulating employment that are not, or cannot be, provided by existing services or agencies. The Extension Manpower Specialist is primarily involved in planning and conducting Job Readiness Workshops. The primary objective of the workshop is to help unemployed or underemployed

individuals learn skills needed for successfully carrying out the job search process.

\*Young Family Project - The Young Family Project is an attempt: (1) to reach potential new clientele and audiences for services provided by the Extension Service or other local service agencies, and (2) to provide young families with an understanding of information and services available from the Cooperative Extension Service and other pertinent agencies. Groups of young homemakers are to be organized and assisted in developing a program consistent with needs which they identify.

Rural Governmental Leadership - This project was undertaken by the community college located in the six county area. The major aim of this project was to make local government more sensitive and responsible to its citizenry and more cognizant of developing its own resources and capabilities. This was to be accomplished through means of (1) a series of in-service seminars for local governmental officials aimed at upgrading the local decision making process, and (2) conduct of a needs assessment survey to provide base line data for local decision making. In addition to the community development seminars, a historical preservation workshop was held in each of the six counties. The purpose of the workshop was to stimulate pride and interest in preserving the local historical heritage.

APPENDIX B: PROPOSAL FOR THE MANPOWER  
EDUCATION SERVICES PROJECT EVALUATION<sup>1</sup>

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<sup>1</sup>Prepared by John E. Burton, Jr., Department of Sociology and Anthropology, Iowa State University, Ames, Iowa. August 7, 1975.

### Introduction

As originally conceived, the Manpower Education Services (MES) project had three objectives articulated. These are:

- 1). To increase the number of jobs in the Title V area.
- 2). To increase the understanding of job opportunities in the Title V area (among unemployed, employers, and agencies servicing employment needs of both groups).
- 3). To improve the delivery of rural manpower services in the Title V area.

Primary emphasis appears to be on the second and third objectives, with the assumption that success in these will help to stimulate additional jobs in the Title V area.

When compared with the objectives and intent of Title V in the Rural Development Act of 1972 (RDA 1972), it appears that the MES project is consistent with RDA 1972. Specific activities undertaken by the project, however, are to be in response to problems specific to the Title V area. The intent is to provide services related to or stimulating employment that are not, or cannot be provided by existing services or agencies.

The project began operation under Title V effective April 1, 1975 and is currently funded through June 30, 1976. Title V support consist of support for a half time Extension Manpower Specialist to work in the six county area.

### Project Activities

Currently, the MES project is, or will be, involved in the following activities:

- 1). "Job Readiness Workshops,"
- 2). workshops for employers,
- 3). a survey of training needs,
- 4). a survey of commuting patterns, and
- 5). displays on employment services at county fairs.

Project activities are of an evolving nature and are developed primarily through the Extension Manpower Specialist's past and present experience in the area, and through the experiences of employers and employment service agencies with whom he interacts.

#### Evaluation Overview

It is recommended that major evaluation and data collection efforts be primarily directed at the Job Readiness Workshops, and any future workshops for employers that might be conducted. This is recommended for several reasons. First, because the Job Readiness Workshop represent a major portion of the total Extension Manpower Specialist's resources during the current year. Second, it addresses the needs of a group of persons with respect to a critical area for rural development--employment. This does not mean to imply that the other activities of this project are not important, or that they will not be evaluated. They will, however, each represent only a small expenditure of the total MES project resources.

The two surveys that will be conducted by the Extension Manpower Specialist represent a form of data collection or research. Their impact and utility will depend upon the uses to which they are put in terms of dissemination and educational programs. Since development of the surveys and dissemination of information has not taken place, development of evaluation for them is likewise limited. The display booths at county

fairs cannot be evaluated because the fairs already are completed. Thus, it appears that focus upon the Job Readiness Workshops is appropriate.

#### MES Project Evaluation

Criteria to be used in evaluating the project will relate to attainment of project objectives. If additional criteria are identified as being important, they also will be used. The criteria, however, will be applied as they relate to the objectives of the MES project already noted and/or to the objectives of specific activities.

Data collection will consist of:

- 1). evaluator's observations,
- 2). monitoring procedures, and
- 3). a survey of workshop participants.

Such data to be collected is in addition to any data that may come from the major survey used in the overall organizational data collection effort. Data collected will be summarized and analyzed by the Title V evaluator. Once an evaluation of the overall project is complete, the evaluator will review it with appropriate project personnel before finalizing it for the Title V Evaluation Committee.

#### Job Readiness Workshops (Background)

Job Readiness Workshops in each county are tentatively scheduled to begin in September and end in December. Additional workshops for January-April (1976) will be scheduled in each county depending upon the interest and response to the first workshop. Each workshop will consist of two 2 hour sessions, and is designed for approximately 12-24 participants in each session. The total number of workshops to be

conducted is unknown at this time, but will probably consist of a minimum of eight workshops.

The primary objective of the workshops is to help unemployed or under-employed individuals learn skills needed for successfully carrying out the job search process. Participants may come from a variety of sources. Contacts have been made with (and information on the workshops will be disseminated through) area employment offices, social service offices, and various community action agencies or organizations. It is expected that persons in these agencies will recommend the workshop to their clients. Notices inviting participation also will be placed in local newspapers.

Actual conduct of the workshops normally will be by the Extension Manpower Specialist, and the county Extension Home Economist. Individuals from local employment offices or industries will be invited to contribute as appropriate.

#### Data Collection

Data collection will consist of two phases. First, participants in the workshop will normally complete a number of questionnaires as a part of the course. As a part of this, or through a separate questionnaire, initial data collection will take place. Data collection will focus on variables related to the criteria for evaluation as they relate to the goal of the workshops. A composite questionnaire is shown in Appendix A. Details of the questionnaire and its administration will be jointly worked out between the Extension Manpower Specialist and the Title V evaluator.

A copy of the resume completed by all workshop participants also will be provided to the evaluator. The Extension Manpower Specialist also will complete a brief report on each meeting (see Appendix B).

Second, 60-90 days (to be determined) after the workshop (November-March) participants will be mailed a brief questionnaire (see Appendix C). This questionnaire will focus upon participants' employment status and their perception of the workshops affect on their job hunting experience. Only a sample (50?) of participants will be surveyed the second time. Those failing to return questionnaires would be followed up with a telephone or personal interviews. Handling of the mail questionnaire would be by the Title V evaluator with telephone or personal interviews being done by the Extension Manpower Specialist (if there are only a few), or by hiring a part-time interviewer if necessary.

Data collected from the initial and follow-up questionnaires will be coded and punched on computer cards and summarized. At this point, data from all sources (evaluator's observations, monitoring procedures, Extension Manpower Specialist's perceptions, participants) will be summarized and analyzed by the evaluator.



## APPENDIX A: INITIAL QUESTIONNAIRE FOR WORKSHOP PARTICIPANTS

Name \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone \_\_\_\_\_

1. Are you currently:

- \_\_\_\_\_ 1. unemployed
- \_\_\_\_\_ 2. employed part-time
- \_\_\_\_\_ 3. employed full-time but looking for another job

2. If you are unemployed, how many months have you been unemployed? \_\_\_\_\_

3. How many months have you been actively seeking employment? \_\_\_\_\_

4. Is your spouse employed:

- \_\_\_\_\_ 1. full-time
- \_\_\_\_\_ 2. part-time
- \_\_\_\_\_ 3. unemployed
- \_\_\_\_\_ 4. N/A (no spouse)

5. Where did you learn about this Job Readiness Workshop?

- \_\_\_\_\_ 1. social services
- \_\_\_\_\_ 2. employment office
- \_\_\_\_\_ 3. newspaper
- \_\_\_\_\_ 4. other (please specify) \_\_\_\_\_

6. What grade did you complete?

- \_\_\_\_\_ 1. 1-8
- \_\_\_\_\_ 2. 9-11
- \_\_\_\_\_ 3. high school graduate
- \_\_\_\_\_ 4. some college (specify) \_\_\_\_\_
- \_\_\_\_\_ 5. college degree (specify) \_\_\_\_\_

7. Have you had any specific skill training? (specify what skill)

- ☐ 1. vocational school \_\_\_\_\_
- ☐ 2. Jr. college \_\_\_\_\_
- ☐ 3. business school \_\_\_\_\_
- ☐ 4. military service \_\_\_\_\_
- ☐ 5. on-the-job training \_\_\_\_\_
- ☐ 6. manpower development training (through employment service,  
job corp, etc.) \_\_\_\_\_
- ☐ 7. other (specify) \_\_\_\_\_

8. Are you interested in additional skill training?

- ☐ 1. yes - specify what skills \_\_\_\_\_
- ☐ 2. no \_\_\_\_\_
- ☐ 3. not sure \_\_\_\_\_

9. What kind of work do you want to do?

10. What kind of work can you do?

11. What must the job offer before you would accept employment?

12. What yearly salary do you expect before you accept employment?

- ☐ 1. at least \$3,000
- ☐ 2. \$3,000-4,999
- ☐ 3. \$5,000-6,999
- ☐ 4. \$7,000-9,999
- ☐ 5. \$10,000-11,999
- ☐ 6. \$12,000-14,999
- ☐ 7. \$15,000 or more

13. Approximately how many jobs have you formally applied for (submitted applications or been interviewed) in the past two months? \_\_\_\_\_

14. What is your age?

- \_\_\_\_\_ 1. less than 18
- \_\_\_\_\_ 2. 18-20
- \_\_\_\_\_ 3. 21-30
- \_\_\_\_\_ 4. 31-40
- \_\_\_\_\_ 5. 41-50
- \_\_\_\_\_ 6. 51-60
- \_\_\_\_\_ 7. 61-65
- \_\_\_\_\_ 8. over 65

15. Sex:

- \_\_\_\_\_ 1. male
- \_\_\_\_\_ 2. female

16. If you are currently employed (full or part-time) what is your job title and description?

17. If you are currently employed, why do you want to seek other employment?

18. What type of employment do you want?

- \_\_\_\_\_ 1. part-time only
- \_\_\_\_\_ 2. full-time only
- \_\_\_\_\_ 3. full-time, but will accept temporary part-time employment

APPENDIX B: PROJECT OR ACTIVITY LEADERS  
REPORT OF EDUCATIONAL WORK-  
SHOP SEMINAR, OR MEETING  
CONDUCTED

The following sample form should be produced and used to report all extension or educational workshops, seminars, or meetings conducted that are related to any Title V project activity. It should be provided within one week of the activity. The form is designed for each meeting, even if it is only in a series.

## ACTIVITY/MEETING REPORT

Project Name \_\_\_\_\_ Date \_\_\_\_\_

Person preparing report \_\_\_\_\_

## A. Meeting Occurrence:

- |                   |   |
|-------------------|---|
| 1. Time _____     | 4. Number of participants _____                                 |
| 2. Date _____     | 5. Person(s) in charge _____                                    |
| 3. Location _____ | 6. Attach roster of persons<br>attending (names and addresses). |

## B. Meeting conduct:

1. Names and organizations of all resource personnel participating or providing support for meeting.
2. Purpose of meeting.
3. Contribution(s) of Title V to the meeting.
4. Summarize the meeting.

## C. Evaluation of meeting:

1. Do you feel the purpose(s) for which the meeting was conducted was (were) reached? Why or why not?
2. How receptive was the audience? What feedback did you receive? (Your assessment of the groups feelings.)

3. What problems or difficulties did you notice? Any suggestions or solutions?

## APPENDIX C: FOLLOW-UP QUESTIONNAIRE

1. Are you currently:
  - ☐ 1. unemployed
  - ☐ 2. employed part-time
  - ☐ 3. employed full-time but looking for another job
  - ☐ 4. employed full-time and not seeking other employment
2. If you are unemployed, how many months have you been unemployed? \_\_\_\_\_
3. If you are currently employed (full or part-time), what is your job title and description?
4. If you are currently employed full-time and seeking another job, why are you looking for another job?
5. How many months have you been actively seeking employment? \_\_\_\_\_
6. Have you become employed (full or part-time) during the past two months, or changed employment during this time?
  - ☐ 1. yes
  - ☐ 2. no
7. Have you received any additional skill training and/or education in the past two months? If so, please describe.
8. If you are currently employed (full or part-time) what is your job title and description?
  - a. Did you get this job before or after the Job Readiness Workshop you attended?
    - ☐ 1. before
    - ☐ 2. after

9. Approximately how many jobs have you formally applied for (submitted applications or been interviewed) during the past two months? \_\_\_\_\_
10. How helpful and useful have the things you learned in the Job Readiness Workshop been to you in applying for jobs?
- \_\_\_\_\_ 1. no help or use at all  
 \_\_\_\_\_ 2. a little help or use  
 \_\_\_\_\_ 3. some help and use  
 \_\_\_\_\_ 4. very helpful and useful
11. Of the topics and areas covered in the Job Readiness Workshop, of how much help do you feel they have been to you in applying for jobs? (Even if you didn't get offered the job.)
- | Activity                              | Very<br>Helpful | Some<br>Help | Little<br>Help | No<br>Help |
|---------------------------------------|-----------------|--------------|----------------|------------|
| a. Orientation to the problem         |                 |              |                |            |
| b. Self-evaluation                    |                 |              |                |            |
| c. Developing job expectations        |                 |              |                |            |
| d. Completing resume's                |                 |              |                |            |
| e. Finding jobs in the area           |                 |              |                |            |
| f. Completing applications            |                 |              |                |            |
| g. Developing interviewing techniques |                 |              |                |            |
12. Overall, how useful do you believe the Job Readiness Workshops are?
- \_\_\_\_\_ a. no help or use at all  
 \_\_\_\_\_ b. a little help or use  
 \_\_\_\_\_ c. some help and use  
 \_\_\_\_\_ d. very helpful and useful
13. Do you believe money should be spent to continue Job Readiness Workshops?
- \_\_\_\_\_ a. yes  
 \_\_\_\_\_ b. no
14. Would you recommend the Job Readiness Workshop to others looking for employment?
- \_\_\_\_\_ a. yes  
 \_\_\_\_\_ b. no
15. What changes or improvements do you feel would make the Job Readiness Workshops more helpful (if any)?



APPENDIX C. QUESTIONNAIRE TO BE  
USED IN ORGANIZATIONAL  
EVALUATION (RRDAC)

Iowa Title V Evaluation Project

Quest. # \_\_\_\_\_

REGIONAL ADVISORY COUNCIL QUESTIONNAIRE  
(APRIL-MAY, 1976)

PART A: This section of the questionnaire deals with the internal operation and composition of the Regional Advisory Council or its member organizations as you view them. Please answer each question as completely as possible.

1. How many months have you been a member of the Regional Title V Rural Development Advisory Council? \_\_\_\_\_
2. How would you characterize your attendance at Regional Advisory Council meetings? (Please check one.)  
☐ 1. Very regular attendance  
☐ 2. Regularly attend  
☐ 3. Occasional attendance  
☐ 4. Seldom attend  
  
a) If your attendance has been occasional or seldom, please explain why.
3. What do you believe have been the most beneficial results stemming from the organization of the Title V Regional Advisory Council to assist in rural development? Please explain.
4. What are the most important things that the Title V Regional Advisory Council should now be doing?
5. Here is a list of organizations or interests in the six county area. Which of these do you believe should be represented on the Title V Regional Advisory Council? Indicate for each organization whether they: 1) definitely should be represented, 2) probably should be represented, 3) probably should not be represented, or 4) definitely should not be represented. If you are not sure, indicate this as well.

	Definitely Should	Probably Should	Not Sure	Probably Should Not	Definitely Should Not
(1) MIDAS					
(2) Community College					
(3) Farmers Home Administration					
(4) Soil Conservation Service					
(5) Iowa Development Commission					
(6) Job Service of Iowa					
(7) Dept. of Social Services					
(8) YOUR, Inc.					
(9) Health Planning Council					
(10) Area 5 Education Agency					
(11) Area Agency on Aging					
(12) Area or County Extension Personnel					
(13) Chambers of Commerce					
(14) Local elected officials					

6. What other organizations, groups, or interests do you feel should also be represented on the Title V Regional Advisory Council? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

7. How has your contact with each of the following organizations or groups changed as a result of your involvement on the Regional Advisory Council?

	<u>Contacts have Increased</u>	<u>Contacts Unchanged</u>	<u>Contacts have Decreased</u>
(1) MIDAS	_____	_____	_____
(2) Community College	_____	_____	_____
(3) Farmers Home Administration	_____	_____	_____
(4) Soil Conservation Service	_____	_____	_____
(5) Iowa Development Commission	_____	_____	_____
(6) Job Service of Iowa	_____	_____	_____
(7) Dept. of Social Services	_____	_____	_____
(8) YOUR, Inc.	_____	_____	_____
(9) Health Planning Council	_____	_____	_____
(10) Area 5 Education Agency	_____	_____	_____
(11) Area Agency on Aging	_____	_____	_____
(12) Area or County Extension Personnel	_____	_____	_____
(13) Chambers of Commerce	_____	_____	_____
(14) Local elected officials	_____	_____	_____
(15) University researchers	_____	_____	_____

Here is a list of statements that refer to how the Regional Advisory Council is operating, or has operated. Please read each statement carefully and then answer YES, NO, or DK (Don't Know) for each statement. Check only one response for each statement.

YES NO DK

- \_\_\_ \_\_\_ \_\_\_ 8. The Regional Advisory Council has generally served to facilitate increased communications between member organizations.
- \_\_\_ \_\_\_ \_\_\_ 9. The Regional Advisory Council has frequently tried to influence the operations or goals of member organizations.
- \_\_\_ \_\_\_ \_\_\_ 10. Participating in the Regional Advisory Council has generally contributed to the effectiveness of member organizations.
- \_\_\_ \_\_\_ \_\_\_ 11. The Regional Advisory Council has generally helped to improve the pooling or sharing of resources for rural development (clients, funds, personnel, materials, etc.) between member organizations.
- \_\_\_ \_\_\_ \_\_\_ 12. Participating in the Regional Advisory Council has generally encouraged member organizations to emphasize common goals for rural development in addition to their own specialized programs.
- \_\_\_ \_\_\_ \_\_\_ 13. The Regional Advisory Council has generally helped in eliminating overlap or duplication in rural development programs.
- \_\_\_ \_\_\_ \_\_\_ 14. The Regional Advisory Council has generally stimulated or facilitated increased cooperation between member organizations.
- \_\_\_ \_\_\_ \_\_\_ 15. Participating in the Regional Advisory Council generally increases an organization's awareness of the objectives of other member organizations.
- \_\_\_ \_\_\_ \_\_\_ 16. Participation in the Regional Advisory Council has generally helped member organizations provide better services to their clientele.
- \_\_\_ \_\_\_ \_\_\_ 17. Participating in the Regional Advisory Council does not threaten an organization's operation.
- \_\_\_ \_\_\_ \_\_\_ 18. The benefits derived by member organizations from participating on the Regional Advisory Council have not generally been sufficient to justify or encourage their continued participation.

Here is a list of statements about what a Regional Advisor Council could do. Please indicate the extent to which you agree that the Regional Advisory Council should do these things. Please read each statement carefully and then indicate whether you: 1) strongly agree with the statement, 2) agree with the statement, 3) don't know how you feel about the statement, 4) disagree with the statement, or 5) strongly disagree with the statement. Circle your response.

- SA A DK D SD 19. The Regional Advisory Council should help to eliminate overlap or duplication in rural development programs.
- SA A DK D SD 20. The Regional Advisory Council should stimulate or facilitate increased cooperation between member organizations.
- SA A DK D SD 21. Participating in the Regional Advisory Council should help increase an organization's awareness of the objectives of other member organizations.
- SA A DK D SD 22. Participation in the Regional Advisory Council should help member organizations provide better services to their clientele.
- SA A DK D SD 23. Participating in the Regional Advisory Council should not threaten an organization's operation.
- SA A DK D SD 24. The Regional Advisory Council should serve to facilitate increased communications between member organizations.
- SA A DK D SD 25. The Regional Advisory Council should try to influence the operations or goals of member organizations.
- SA A DK D SD 26. Participation in the Regional Advisory Council should contribute to the effectiveness of member organizations.
- SA A DK D SD 27. The Regional Advisory Council should help to improve the pooling or sharing of resources for rural development development (clients, funds, personnel, materials, etc.) between member organizations.
- SA A DK D SD 28. Participating in the Regional Advisory Council should encourage member organizations to emphasize common goals for rural development in addition to their own specialized programs.

PART B: This section primarily deals with the conduct of the Title V program as a whole, and the relationships between the major elements involved in Title V. There also are questions on Title V projects and rural development in general. Please read the instructions for each set of questions carefully, and answer each question.

1. How effective is the Title V program (administered through Iowa State University) as a means for facilitating rural development?

\_\_\_\_\_ 1. Very Effective  
\_\_\_\_\_ 2. Effective  
\_\_\_\_\_ 3. Not Sure  
\_\_\_\_\_ 4. Ineffective  
\_\_\_\_\_ 5. Very Ineffective

2. What other means for facilitating rural development (if any) do you believe would be more effective than Title V?

3. How acceptable to you is the Title V program (administered through Iowa State University) as a means for facilitating rural development?

\_\_\_\_\_ 1. Very Acceptable  
\_\_\_\_\_ 2. Acceptable  
\_\_\_\_\_ 3. Not Sure  
\_\_\_\_\_ 4. Unacceptable  
\_\_\_\_\_ 5. Very Unacceptable

4. What other means for facilitating rural development (if any) would be more acceptable to you than the current Title V program?

5. Please indicate the degree of control you believe the following elements of the Title V program have exercised over the overall conduct of Title V rural development activities.

	Considerable Control	Some Control	Little Control	No Control
a. State Rural Development Advisory Council				
b. Regional Advisory Council				
c. Title V Coordinator				
d. Rural Development Specialist (Fred Wepprecht)				
e. University researchers				
f. Area or County Extension Personnel				

6. Please indicate the degree of control you believe the following elements of the Title V Program should exercise over the overall conduct of Title V rural development activities.

	Considerable Control	Some Control	Little Control	No Control
a. State Rural Development Advisory Council				
b. Regional Advisory Council				
c. Title V Coordinator				
d. Rural Development Specialist (Fred Wepprecht)				
e. University researchers				
f. Area or County Extension Personnel				



7. Please indicate the degree of initiative you believe the following elements of the Title V program have taken in initiating Title V projects.

	Considerable Initiative	Some Initiative	Little Initiative	No Initiative
a. State Rural Development Advisory Council				
b. Regional Advisory Council				
c. Title V Coordinator				
d. Rural Development Specialist (Fred Wepprecht)				
e. University researchers				
f. Area or County Extension Personnel				

8. Please indicate the degree of initiative you believe the following elements of the Title V program should take in initiating Title V projects.

	Considerable Initiative	Some Initiative	Little Initiative	No Initiative
a. State Rural Development Advisory Council				
b. Regional Advisory Council				
c. Title V Coordinator				
d. Rural Development Specialist (Fred Wepprecht)				
e. University researchers				
f. Area or County Extension Personnel				

9. Please indicate the degree of control you believe the following elements of the Title V program exercise over the direction or efforts of individual projects conducted under Title V.

	Considerable Control	Some Control	Little Control	No Control
a. State Rural Development Advisory Council				
b. Regional Advisory Council				
c. Title V Coordinator				
d. Rural Development Specialist (Fred Wepprecht)				
e. University researchers				
f. Area or County Extension Personnel				

10. Please indicate the degree of control you believe the following elements of the Title V program should exercise over the direction or efforts of individual projects conducted under Title V.

	Considerable Control	Some Control	Little Control	No Control
a. State Rural Development Advisory Council				
b. Regional Advisory Council				
c. Title V Coordinator				
d. Rural Development Specialist (Fred Wepprecht)				
e. University researchers				
f. Area or County Extension Personnel				
g. Local Government Officials				

Here is a list of statements that refer to the way Title V is operating or has operated, and the relationships between the elements of the Title V organization. Please read each statement carefully and then answer: YES, NO, or DK (Don't Know) for each statement. Check only one response for each question.

YES NO DK

- |                |  |
|----------------|--|
| ____ ____ ____ | 11. A member or subcommittee of the Regional Advisory Council has been involved in directing the operation of most approved Title V projects.    |
| ____ ____ ____ | 12. The Regional Advisory Council has served as an advisory board for project directors.   |
| ____ ____ ____ | 13. The Regional Advisory Council has generally been responsible for identifying major research or extension needs.                              |
| ____ ____ ____ | 14. Project directors are generally directly responsible to the Title V Coordinator for the conduct of their Title V project.                    |
| ____ ____ ____ | 15. The Regional Advisory has served as a communications link between project directors and local leaders or organizations.                      |
| ____ ____ ____ | 16. Project directors are generally directly responsible to the Regional Advisory Council for the conduct of their Title V project.              |
| ____ ____ ____ | 17. The Regional Advisory Council has served as an advisory board for the Title V Coordinator.   |
| ____ ____ ____ | 18. A member or subcommittee of the Regional Advisory Council has been involved in the planning or initiation of most projects to be undertaken. |

Here is a list of statements about how Title V could be conducted or operated. Please indicate the extent to which you agree that Title V should be conducted or operated as specified in each statement. Please read each statement carefully and then indicate whether you: 1) strongly agree with the statement, 2) agree with the statement, 3) don't know how you feel about the statement, 4) disagree with the statement, or 5) strongly disagree with the statement. Circle your response.

- SA A DK D SD 19. The Regional Advisory Council should serve as a communications link between project directors and local leaders or organizations.
- SA A DK D SD 20. Project directors should be directly responsible to the Regional Advisory Council for the conduct on their Title V project.
- SA A DK D SD 21. The Regional Advisory Council should serve as an advisory board for the Title V Coordinator.
- SA A DK D SD 22. A member or subcommittee of the Regional Advisory Council should be involved in the planning or initiation of any projects to be undertaken.
- SA A DK D SD 23. A member or subcommittee of the Regional Advisory Council should be involved in directing the operation of each approved project.
- SA A DK D SD 24. The Regional Advisory Council should serve as an advisory board for project directors.
- SA A DK D SD 25. The Regional Advisory Council should be responsible for identifying major research or extension needs.
- SA A DK D SD 26. Project directors should be directly responsible to the Title V Coordinator for the conduct of their Title V projects.

27. To what extent have each of the following been responsive to the needs or request of the Regional Advisory Council? (Please check the one most appropriate response for each element listed.)

	Don't Know	Very Responsive	Responsive	Ignored needs or Request
a. State Rural Development Advisory Council				
b. Title V Coordinator				
c. Rural Development Specialist (Fred Wepprecht)				
d. University Researchers				
e. Area or County Extension Personnel				

28. What difficulty (if any) has the Regional Advisory Council had in determining the plans or intentions of each of the following? (Please check the one most appropriate response for each element listed.)

	Don't Know	None	Very Little	Some	Considerable
a. State Rural Development Advisory Council					
b. Title V Coordinator					
c. Rural Development Specialist (Fred Wepprecht)					
d. University Researchers					
e. Area or County Extension Personnel					

29. A number of major rural development projects have been approved or conducted under Title V in the Fort Dodge region. These are shown below. Please indicate how satisfied you are with the achievements, results or activities of each project to this point. (Check the appropriate column for each project.)

	Very Satisfied	Satisfied	Not Sure	Dis-satisfied	Very Dis-satisfied
a. Rural Government Leadership (ICCC)					
b. The "Good" Community Project					
c. Economic Base Study					
d. Population Base Study					
e. Manpower Education Services project					
f. Young Family Program					
g. Rural Industrialization project					
h. Land Use project					
i. Charting Social Wellbeing (Social Indicators)					
j. Simple Home Repairs project					

30. What outcomes (if any) have you observed as a result of the Iowa Title V program? Please explain.



Now we would like to ask you a series of questions which deal with your approach to rural development. Please indicate whether you: 1) strongly agree, 2) agree, 3) don't know, 4) disagree, or 5) strongly disagree with each of the following statements. (Circle one response for each statement.)

- SA A DK D SD 31. Rural development efforts should be confined to issues on which all parties can agree.
- SA A DK D SD 32. The principal strategy of rural development groups should be to help residents determine their own goals and priorities.
- SA A DK D SD 33. The principal emphasis in rural development should be placed on improving the process of communication and decision-making among development groups.
- SA A DK D SD 34. Efforts should be made to secure participation by a large proportion of the community in rural development programs.
- SA A DK D SD 35. Although there may be important rural development matters on which consensus cannot be reached, planning and action should nevertheless take place.
- SA A DK D SD 36. Rural development efforts should be confined to only one relatively specific problem area.
- SA A DK D SD 37. Rural development efforts should be confined to interested groups and individuals and those with decision-making prerogatives.
- SA A DK D SD 38. Organizations or individuals that participate in rural development activities should cooperate with each other as much as possible.
- SA A DK D SD 39. Cooperation among public agencies should yield better results in rural development efforts than the efforts of several groups that act independently of one another.
- SA A DK D SD 40. Cooperation with other groups in rural development activities should not reduce an organization's effectiveness.

PART C: Here is a list of organizations or agencies that are represented on the Regional Advisory Council. Although it is recognized that you may be a representative of one or more of these organizations, the next series of questions should be answered as if you are a representative of only one of these organizations or agencies. Therefore, please indicate below one organization or agency for which you are a representative on the Regional Advisory Council, and then answer the remaining questions from the perspective of that organization or agency. If you do not belong to or represent any of these organizations or agencies, indicate this and skip to part C-2 on page 17.

- ☐ 1. MIDSA
- ☐ 2. Community College
- ☐ 3. Farmers Home Administration
- ☐ 4. Soil Conservation Service
- ☐ 5. Iowa Development Commission
- ☐ 6. Job Service of Iowa
- ☐ 7. Dept. of Social Services
- ☐ 8. YOUR, Inc.
- ☐ 9. Health Planning Council
- ☐ 10. Area 5 Education Agency
- ☐ 11. Area Agency on Aging
- ☐ 12. Area or County Extension Personnel
- ☐ 13. Chambers of Commerce
- ☐ 14. County Extension Staff
- ☐ 15. None of the above

1. What degree of influence do you believe the organization you represent on the Regional Advisory Council has had upon the conduct of Title V?

- ☐ 1. Major influences
- ☐ 2. Some influence
- ☐ 3. Little influences
- ☐ 4. No influence

2. How has the contact between the organization you represent and the following organizations or groups changed as a result of being represented on the Regional Advisory Council?

	<u>Contacts have Increased</u>	<u>Contacts Unchanged</u>	<u>Contacts have Decreased</u>
(1) MIDAS	_____	_____	_____
(2) Community College	_____	_____	_____
(3) Farmers Home Administration	_____	_____	_____
(4) Soil Conservation Service	_____	_____	_____
(5) Iowa Development Commission	_____	_____	_____
(6) Job Service of Iowa	_____	_____	_____
(7) Dept. of Social Services	_____	_____	_____
(8) YOUR, Inc.	_____	_____	_____
(9) Health Planning Council	_____	_____	_____
(10) Area 5 Education Agency	_____	_____	_____
(11) Area Agency on Aging	_____	_____	_____
(12) Area or County Extension Personnel	_____	_____	_____
(13) Chambers of Commerce	_____	_____	_____
(14) Local elected officials	_____	_____	_____
(15) University researchers	_____	_____	_____

3. Do you believe that the organization or agency that you represent on the RRDAC has benefited through representation on the Regional Advisory Council?

\_\_\_\_ 1. Yes  
 \_\_\_\_ 2. No

4. Please describe what benefits (if any) the organization or agency you represent have received from participation in the Regional Advisory Council.

5. What resources (time, money, facilities, personnel, publications, clients, information, etc.) from Title V or Title V projects has the organization you represent utilized? Please explain.
  
6. What resources (time, money, facilities, personnel, clients, etc.) has the organizations you represent contributed to any Title V rural development activities or efforts? Please explain.

PART C-2: Below are the goals or objectives of Title V as stated in the Rural Development Act of 1972. Please refer to these in answering the next three questions.

- (1) To encourage and foster a balanced national development that provides opportunities for increased numbers of Americans to work and enjoy a high quality of life dispersed throughout our nation by providing the essential programs of rural development.
  
- (2) To provide...those involved with public services and investments in rural areas or that provide or may provide employment in these areas the best available scientific, technical, economic, organizational, environmental, and management information and knowledge useful to them, and to assist and encourage them, in the interpretation and application of this information to practical problems and needs in rural development.
  
- (3) To provide research and investigations in all fields that have as their purpose the development of useful knowledge and information to assist those planning, carrying out, managing, or investing in facilities, services, business, or other enterprises, public and private, that may contribute to rural development.
  
- (4) To enhance the capabilities of colleges and universities to perform the vital public service roles of research, transfer, and practical application of knowledge in support of rural development.

7. Please indicate how appropriate each of these goals or objectives are to you or to the organization you represent on the Regional Advisory Council. (Please check the appropriate column for each objective.)

<u>Objective</u>	<u>Very Appropriate</u>	<u>Appropriate</u>	<u>Not Sure</u>	<u>In- appropriate</u>	<u>Very In- appropriate</u>
1.	_____	_____	_____	_____	_____
2.	_____	_____	_____	_____	_____
3.	_____	_____	_____	_____	_____
4.	_____	_____	_____	_____	_____

8. In terms of the rural development needs in this region, how realistic are the goals of Title V? (Please check the appropriate column for each objective.)

<u>Objective</u>	<u>Very Realistic</u>	<u>Realistic</u>	<u>Not Sure</u>	<u>Unrealistic</u>	<u>Very Unrealistic</u>
1.	_____	_____	_____	_____	_____
2.	_____	_____	_____	_____	_____
3.	_____	_____	_____	_____	_____
4.	_____	_____	_____	_____	_____

9. Given the current level of resources for rural development under Title V, how attainable are the objectives? (Please Check the appropriate column for each objective.)

<u>Objective</u>	<u>Very Attainable</u>	<u>Attainable</u>	<u>Not Sure</u>	<u>Unattainable</u>	<u>Very Unattainable</u>
1.	_____	_____	_____	_____	_____
2.	_____	_____	_____	_____	_____
3.	_____	_____	_____	_____	_____
4.	_____	_____	_____	_____	_____

10. Please rank the following items in the order of priority you believe they should have for the Title V program at this time.

- \_\_\_\_ A. The generation of new knowledge for science.  
 \_\_\_\_ B. The generation of new knowledge related to problem areas or needs.  
 \_\_\_\_ C. The identification of problem areas or needs.  
 \_\_\_\_ D. The application of existing knowledge to the solution of problems already identified (action programs).

PART D: The following questions are directed at possible suggestions or alternatives that you might see for the Title V rural development program.

1. What changes (if any) do you feel should be made in the operation or functioning of the Regional Advisory Council? Please explain.
2. If financial support for Title V was withdrawn, what role should the Regional Advisory Council play with respect to rural development in the Fort Dodge region? Please explain.
3. What changes (if any) do you feel should be made in the way rural development is conducted under Title V? Please explain.